

**MARFIN FISHERIES INITIATIVE PROGRAM (MARFIN) FY 2005
FEDERAL FUNDING OPPORTUNITY**

Overview Information

Federal Agency: National Marine Fisheries Service (NMFS), National Oceanic and Atmospheric Administration (NOAA), Commerce.

Funding Opportunity: Financial Assistance for Research and Development Projects in the Gulf of Mexico and off the U.S. South Atlantic Coastal States; Marine Fisheries Initiative (MARFIN).

Announcement Type: Notice of solicitation for applications.

Catalog of Federal Domestic Assistance Number: 11.433 Marine Fisheries Initiative.

Dates: We must receive your application by close of business (5 p.m. eastern daylight time) on August 30, 2004. Applications will be date stamped to show date and time received. Applications received after that time will not be considered for funding. The earliest start date of awards (1st of a month) is about 180 days after the date of publication of this notice.

Addresses: You can obtain an application package from, and send your completed application(s) to: National Marine Fisheries Service, State/Federal Liaison office, 9721 Executive Center Drive N., St. Petersburg, FL 33702. You may also obtain the application package from the MARFIN Home Page at: <http://sero.nmfs.noaa.gov/grants/marfin.htm>

For Further Information Contact: Ellie Francisco Roche, Chief, State/Federal Liaison Office at 727-570-5324.

Executive Summary

Subject to the availability of funds, NMFS (hereafter referred to as “we” or “us”) announces the availability of Federal assistance under the MARFIN Program Grant Program. This announcement provides guidelines, evaluation criteria, and selection procedures for the program.

The MARFIN program provides financial assistance for research and development projects that optimize the use of fisheries in the Gulf of Mexico and off the South Atlantic states of North Carolina, South Carolina, Georgia, and Florida involving the U.S. fishing industry (recreational and commercial), including fishery biology, resource assessment, socioeconomic assessment, management and conservation, selected harvesting methods, and fish handling and processing.

Full Text of Announcement

I. Funding Opportunity Description

MARFIN is a competitive Federal assistance program that funds projects seeking to optimize research and development benefits from U.S. marine fishery resources through cooperative efforts involving the best research and management talents to accomplish priority activities. Projects funded under MARFIN provide answers for fishery needs covered by the NMFS Strategic Plan, available from the Southeast Regional Office (see Addresses), particularly those goals relating to: rebuilding over-fished marine fisheries, maintaining currently productive fisheries, and integrating conservation of protected species and fisheries management. Funding priorities for MARFIN are formulated from recommendations received from non-Federal scientific and technical experts and from NMFS research and operations officials.

You are encouraged to address one of the priority areas listed below as they pertain to Federally managed species or species relevant to Federal fisheries management. If you select more than one priority, you should list first on your application the priority that most closely reflects the objectives of your proposal. Projects should focus on the greatest probability of recovering, maintaining, improving, or developing fisheries; improving the understanding of factors affecting recruitment success; and/or generating increased values and recreational opportunities for fisheries.

Priority is given to funding projects in the subject areas listed in this section, but proposals in other areas are considered on a funds-available basis. There is no preference between short-term and long-term projects.

A. Bycatch

The bycatch of biological organisms (including interactions with sea turtles and marine mammals) by various fishing gears can have wide-reaching impacts from a fishery's management and an ecological standpoint, with the following major concerns:

1. Shrimp trawl fisheries. Studies are needed to contribute to the regional shrimp trawl bycatch program (including the southern U.S. Atlantic rock shrimp fishery) being conducted by NMFS in cooperation with state fisheries management agencies, commercial and recreational fishing organizations and interests, environmental organizations, universities, Councils, and Commissions. Specific guidance and research requirements are contained in the Cooperative

Bycatch Plan for the Southeast, available from NMFS (see Addresses). In particular, the studies should address:

(a) Data collection and analyses to expand and update current bycatch estimates, temporally and spatially emphasizing areas of greatest impact by shrimping. Sampling effort should include estimates of numbers, weight, and random samples of size (age) structure of associated bycatch complex, with emphasis on ESA-listed species and on those overfished species under the jurisdiction of the Councils. Data collection should also include mortality, age, and length information for red drum in both inshore and offshore shrimp fisheries.

(b) Assessment of the status and condition of fish stocks significantly impacted by shrimp trawler bycatch, with emphasis given to overfished species under the jurisdiction of the Councils. Other sources of fishing and non-fishing mortality should be considered and quantified as well.

(c) Identification, development, and evaluation of gear, non-gear, and tactical fishing options to reduce bycatch.

(d) Improved methods for communicating with and improving technology and information transfer to the shrimp industry.

(e) Development and evaluation of statistical methods to estimate the bycatch of priority management species in the Gulf and South Atlantic shrimp trawl fisheries.

2. Pelagic longline fisheries. Several pelagic longline fisheries exist in the Gulf and South Atlantic, targeting highly migratory species, such as tunas, sharks, and swordfish. Priority areas include:

(a) Development and evaluation of gear and fishing tactics to minimize bycatch of undersized and unwanted species, including sea turtles, marine mammals, billfish, sawfish and overfished finfish species/stocks.

(b) Assessment of the biological impact of longline bycatch on related fisheries.

3. Reef fish fisheries. The reef fish complex is exploited by a variety of fishing gear and tactics. The following research on bycatch of reef fish species is needed: Characterization and assessment of the impact of bycatch of undersized target species, including release mortality,

during recreational fishing and during commercial longline, bandit gear and trap fishing; characterize the species composition and disposition of all fishes caught by commercial fishermen, with respect to depth and latitude as well as estimate effort with respect to depth and latitude.

4. Finfish trawl fisheries. Studies are needed on quantification and qualification of the bycatch in finfish trawl fisheries, such as the flounder and fly-net fisheries in the South Atlantic. Derive estimates of discard mortality rates for weakfish and the magnitude of discards for all commercial gear types from both directed and non-directed fisheries.

B. Reef Fish and other Fishery Resources Associated with Reef Environments

Some species within the reef fish complex are exhibiting signs of being overfished, either because of directed efforts or because of being the bycatch of other fisheries. The ecology of reef fish makes them vulnerable to overfishing, because they tend to concentrate over specific types of habitat with patchy distribution. This behavior pattern can make traditional fishery statistics misleading. Priority research areas include:

1. Collection of basic biological data for species in commercially and recreationally important fisheries.

(a) Age and growth of reef fish:

(1) Description of age and growth patterns, especially for vermilion, gray, and cubera snappers; gray triggerfish; gag; black grouper; hogfish; red porgy; and other less dominant forms in the management units for which data are lacking for the Caribbean. Red hind, coney, graysby, warsaw, speckled hind and other less dominant species in the management units in the South Atlantic, Gulf, and Caribbean require more age information.

(2) Collect otoliths on groupers, snappers and other reef fish according to Gulf States Marine Fisheries Commission (GSMFC) otolith manual. If proposal is selected for funding, coordinate studies and design of sampling systems to provide production-style aging programs for the reef fish fishery with Steve VanderKooy at GSMFC (228) 875-5912.

(b) Reproduction studies of reef fish:

(1) Maturity schedules, fecundity, and sex ratios of commercially and recreationally important reef fish, such as red hind, coney, graysby, warsaw, and speckled hind in the Gulf and

South Atlantic.

(2) Studies of all species to characterize the actual reproductive contribution of females by age.

(3) Identification and characterization of spawning aggregations by species, area, size group and season for groupers, snappers, and amberjacks.

(4) Effects of fishing on changes of sex ratios for gag and scamp, and disruption of aggregations.

(5) Investigations of the reproductive biology of other grouper species such as rock hind, red hind, coney and graysby.

(c) Recruitment of reef fish and other fishery resources associated with reef environments.

(1) Source of recruitment in Gulf and South Atlantic waters, especially for snappers, groupers, amberjacks, other reef fish and spiny lobster.

(2) Annual estimation of the absolute or relative recruitment of juvenile gag, gray snapper, and lane snapper to estuaries habitats off the west coast of Florida and to similar estuaries nursery habitats along the South Atlantic Bight; development of an index of juvenile gag recruitment for the South Atlantic based on historical databases and/or field studies.

(3) The contribution of live-bottom habitat and habitat areas of particular concern (Oculina banks) off Fort Pierce, Florida and off west central Florida to reef fish recruitment.

(d) Stock structure of reef fish and other fishery resources associated with reef environments.

(1) Movement and migration patterns of commercially and recreationally valuable reef fish species, especially gag in the Gulf and South Atlantic and greater amberjack between the South Atlantic and Gulf.

(2) Stock structure of greater amberjack in the Gulf and South Atlantic.

(3) Fishery dependent and fishery independent data of wreckfish from the eastern North Atlantic.

(4) Stock structure of spiny lobster populations using various methods, including tagging and genetic techniques.

2. Population assessment of reef fish and other fishery resources associated with reef environments.

(a) Effect of reproductive mode and sex change (protogynous hermaphroditism) on population size and characteristics, with reference to sizes of fish exploited in the fisheries and the significance to proper management.

(b) Determination of the habitat and limiting factors for important reef fish resources in the Gulf and South Atlantic.

(c) Description of habitat and fish populations in the deep reef community and the prey distributions supporting the community.

(d) Development of statistically valid indices of abundance for important reef fish species in the South Atlantic and Gulf, especially red grouper, Goliath grouper, speckled hind, red porgy, Warsaw grouper, Nassau grouper, tilefish, snowy grouper, vermilion snapper and red snapper.

(e) Stock assessments to establish the status of major recreational and commercial species. Innovative methods are needed for stock assessments of aggregate species, including the effect of fishing on genetic structure and the incorporation of sex change for protogynous hermaphrodites into stock assessment models.

(f) Assessment of spiny lobster resources in Florida waters.

3. Management of reef fish:

(a) Research in direct support of management, including catch-and-release mortalities, by gear and depth.

(b) Characterization and evaluation of biological impacts (e.g., changes in age or size

structure of reef fish populations) in response to management strategies.

C. Red Snapper Research

1. Red snapper bycatch: The bycatch of red snapper can have significant impacts from a fisheries management and ecological standpoint. Research on bycatch of red snapper should focus on the following:

(a) Directed red snapper fisheries: The reef fish fishery is exploited by a variety of fishing gear and tactics. The following research on regulatory discards is needed to better evaluate the effectiveness of management measures such as minimum size limits and closed seasons:

(1) Development and evaluation of gear and fishing tactics to minimize the bycatch of or increase the survival of discarded red snapper and other reef fish species.

(2) Characterization and assessment of the impact of bycatch of undersized reef fish species, including release mortality, during recreational and commercial fishing. Research on the catch-and-release mortality of red snapper and other reef fish species, by gear (e.g., capture by commercial bandit rigs that are electrically or hydraulically powered), fishery (e.g., headboat, private boat, charter boat, commercial), and depth. Studies are needed to specifically relate “sink or swim” data, which can be obtained through observer programs, with long-term survival rates.

(3) Research to document predation rates on discarded red snapper and other reef fish species.

2. Red snapper population assessment:

(a) Determination of the habitat and limiting factors for important red snapper populations in the Gulf.

(b) Estimates of red snapper abundance, age structure and population dynamics on oil platforms and other artificial structures.

3. Management of red snapper:

(a) Characterization and evaluation of biological impacts (e.g., changes in age or size structure of red snapper populations in response to management strategies).

(b) Research to evaluate the use of minimum size limits as a management tool in the red snapper fishery.

D. Coastal Migratory Pelagic Fisheries

The commercial and recreational demand for migratory coastal pelagics has led to overfishing for certain species. Additionally, some are transboundary with Mexico and other countries and may ultimately demand international management attention. Current high priorities include:

1. Recruitment indices for king and Spanish mackerel, cobia, dolphin, wahoo, and bluefish, primarily from fishery-independent data sources.
2. Fishery-independent methods of assessing stock abundance of king and Spanish mackerel, dolphin, and wahoo.
3. Release mortality data for all coastal pelagic species.
4. Improved catch statistics for all species in Mexican waters, with special emphasis on king mackerel, dolphin, and wahoo. This includes length-frequency and life history information.
5. Information on populations of coastal pelagics overwintering off the Gulf of Mexico and the South Atlantic states of North Carolina, South Carolina, Georgia, and Florida, especially concerning population size, age, and movement patterns; and for dolphin and wahoo during the entire year throughout their migratory patterns. Calculate the mixing rates for Atlantic/Gulf king mackerel on an annual basis.
6. Development of a practical method for aging dolphin.
7. Basic biostatistics for cobia, dolphin, and wahoo to develop age-length keys and maturation schedules for stock assessments and to evaluate stock structures.
8. Impact of bag limits on total catch and landings of king and Spanish mackerel, dolphin, wahoo, and cobia.
9. Increase sampling of size and age composition of the bluefish fisheries by gear type and statistical area.

10. Target commercial and recreational landings of bluefish for biological data collection.

E. Groundfish and Estuarine Fishes

Substantial stocks of groundfish and estuarine species occur in the Gulf and South Atlantic. Most of the database for assessments comes from studies conducted by NMFS and state fishery management agencies. Because of the historical and current size of these fish stocks, of their importance as predator and prey species, and of their current or potential use as commercial and recreational fisheries, more information on their biology and life history is needed. General research needs are:

1. Red drum:

- (a) Size and age structure of the offshore adult stock in the Gulf and South Atlantic.
- (b) Catch-and-release mortality rates from inshore and nearshore waters.
- (c) Estimates of absolute abundance of red drum in the Gulf of Mexico and the

Atlantic.

2. Life history and stock structure for weakfish, menhaden, spot, croaker, flounder, sheepshead, black drum, mullet, and white trout in the Gulf and the South Atlantic: Migratory patterns, long-term changes in abundance, growth rates, and age structure and comparisons of the inshore and offshore components of recreational and commercial fisheries.

F. Essential Fish Habitat

Over the years, human activities have impaired the quality and reduced the quantity of available habitat that is necessary to support sustainable populations of recreationally and commercially important fish stocks. To reverse this trend of declining habitat value, data and information are needed to improve the identification and description of essential fish habitat (EFH). The availability of such data would also lead to better understanding of management measures that should be adopted. Current priorities for research in this are included:

1. Determine the effects of fishing gears (e.g., trawls and traps) and practices (e.g., gear retrieval and anchoring) on essential fish habitat (EFH), with emphasis on benthic habitats within the exclusive economic zone (EEZ) of the Caribbean, southern U.S. Atlantic, and Gulf of Mexico regions.

2. Develop scientific data to allow the identification and refinement, as appropriate, of EFH designations for the various life stages of Federally managed species.

3. Develop scientific data to allow the identification and refinement, as appropriate, of Habitat Areas of Particular Concern (HAPC) designation for the various life stages of Federally managed species.

4. Develop geographic information system (GIS) mapping protocols and tools to allow the presentation of EFH, HAPC, fishery distribution information, and other relevant data for the southeastern United States, including Puerto Rico and the U.S. Virgin Islands.

5. Characterize the spatial and temporal abundance and distribution of egg and larval life stages of managed species (e.g., shrimp and finfish) in estuaries and in confined waterways.

6. Develop information on recruitment of estuarine-dependent early life stages into coastal and nearshore adult populations.

7. Fishery-independent sampling of sub-adult red drum to provide an index of recruitment to age 1.

8. Fishery dependent and independent size, age, and sex specific relative abundance estimates for Atlantic croaker to monitor long term changes in croaker abundance.

9. Examine reproductive biology of croaker with emphasis on developing maturity schedules and estimates of fecundity.

G. Economic and Sociocultural Studies

Social and economic assessments are required components of all fishery management plans and actions. These assessments support the accomplishment of management objectives while minimizing adverse social and economic impacts. Current priority research needs are:

1. Development and application of a model to evaluate the economic impacts of red snapper bycatch reduction. The model should explicitly examine the bycatch in the directed fishery (recreational and commercial red snapper fisheries) and non-directed fishery (commercial shrimp fishery and directed fisheries for other finfish). The model should explicitly consider the impacts on the red snapper fishery and the fisheries in which red snapper bycatch occurs. The

model should describe criteria for determining the economically and socially efficient level of bycatch reduction.

2. Development of economic incentives and other innovative alternatives, including bycatch quotas, to gear and season/area restrictions as ways to reduce bycatch. The project should contrast the relative costs, potential gains, and level of bycatch reduction associated with traditional methods and any innovative alternatives addressed by the project.

3. Estimation of demand models for recreational fishing trips when the target species include a single species, an aggregate of related species, or all species combined. Studies using data from the Southeast economics add-ons to Marine Recreational Fisheries Statistics Survey are highly encouraged. Key species are red drum, king mackerel, Spanish mackerel, red grouper, gag, black grouper, dolphin, wahoo, vermilion snapper, yellowtail snapper, and Atlantic black sea bass. Fishing quality (stock size, catch per unit effort, average fish size) as a determinant of fishing demand should be emphasized. The models should be applicable to the evaluation of the economic impacts of common management tools, including, but not limited to, minimum and maximum size limits, bag limits, and seasonal closures.

4. Estimation of demand and supply models of for-hire trips. Studies using data from the Southeast economics add-ons to Marine Recreational Fisheries Statistics Survey charter captains telephone survey are highly encouraged. Evaluation of the headboat sector will require the collection of primary data from both anglers and vessel operators. Key species are red drum, king mackerel, Spanish mackerel, red grouper, gag, black grouper, dolphin, wahoo, vermilion snapper, yellowtail snapper, and Atlantic black sea bass. Fishing quality (stock size, catch per unit effort, average fish size) as a determinant of fishing demand should be emphasized. The models should be applicable to the evaluation of the economic impacts of common management tools, including, but not limited to, minimum and maximum size limits, bag limits, and seasonal closures. Motivational factors behind the selection of specific charter types, such as cost, trip duration (half day versus full day), time of day, size of the charter (number of passengers), services offered, etc., should be included as explanatory variables.

5. Design and evaluation of limited access options for all sectors of a specific fishery, including both the commercial and recreational sectors. Emphasis should be included, where appropriate, on different gears, modes of fishing, enforcement, and jurisdictional issues. Key species of emphasis are red snapper, king mackerel, red grouper, gag and black grouper.

6. Estimation of fishing behavioral models, and effort supply and production functions for the commercial and for-hire sectors. Specific attention should be given to species target

behavior, time and space decisions, and whether profit maximization is an appropriate motivational assumption for the supply of fishing effort. The intent of this research is to determine the basis upon which fishermen make their fishing related decisions (e.g., when to fish, where to fish, how much to fish, what species to target, what gear to use, etc.)

7. Comparison of the expected economic and social impacts of previously implemented fisheries regulations with realized impact for regulated species. Attempts should be made to identify and isolate behavioral causes of divergence as opposed to environmental causes.

8. In-depth ethnographic profiles of communities in Louisiana. These include communities already identified as fishing communities and communities for which insufficient information exists to make status determination. Applicants should contact NOAA Fisheries for appropriate prospective communities, based on the results of on-going investigations. Profiles should include descriptions of the community, commercial and recreational fishing-related activities and businesses, historical information on fishing related activities, community structure and social ties based on fishing, and changes in the community due to federal regulations on the fisheries.

9. Estimation of the non-market value of marine turtles, bottlenose dolphins, and right whales.

10. Examination of the costs and benefits of vessel and/or license buy-back programs. The analysis must include costs of the program and examination of alternative funding mechanisms. Key fisheries are red snapper, vermilion snapper, king mackerel, red grouper, gag, and South Atlantic shrimp.

11. Evaluation of alternative effort control management measures in federally managed commercial fisheries. The evaluation should apply to a specific fishery. Key candidate species/fisheries are shrimp, reef fish, and coastal migratory pelagics. Analyses should include a comparison of potential economic, social, cultural, and ecological impacts at the vessel, individual, and community level, and examine the desirability of single species versus multiple species approaches. Depending on the fishery and its current management structure, possible alternatives include but are not limited to: control dates for permits; limited entry; transferable or non-transferable individual catch, individual effort, community catch, or community effort quotas; and cooperatives or other forms of co-management. For catch and effort quotas, the efficacy of initially allocating and segmenting quota markets by gear, vessel fishing power/capacity, and by state or community should be explicitly addressed.

12. Evaluation of the transference of fishing opportunity between commercial, recreational, and conservation sectors under a transferable rights program. Key fisheries are the red snapper, vermilion snapper, king mackerel, Spanish mackerel, red grouper, and gag fisheries.

13. Examination of the effects of factors other than fishery management on the welfare of the Southeast's fishermen and fishing communities, including but not necessarily limited to: domestic and foreign trade policies, macroeconomic conditions, energy policies/ prices, insurance rates, foreign aid policies (e.g. World Bank, IMF, OECD, etc.), and coastal economic development (including both land use and water use, with a particular focus on pollution generating activities and gentrification).

14. A comparative analysis of management/regulation in the seafood industry relative to other food producing industries that operate under the USDA's control.

15. Development of methodologies to accurately assess the cumulative economic and social impacts of fishery management regulations on fishermen and fishing communities, and to separate such from the impacts of non-fishery management factors.

II. Award Information

This document describes how you can apply for an award under the MARFIN Grant Program, and how we will determine which applications we will fund. We are soliciting applications for Federal assistance pursuant to 15 U.S.C. 713c-3(d). Proposals selected for funding through this solicitation will be implemented through a cooperative agreement. NMFS will be substantially involved in planning, scheduling, conducting and analyzing proposed project activities through semi-annual reports and frequent contact with the grantee to help solve technical problems/situations as they arise during performance of the award.

You can obtain an application package from, and send your completed application(s) to: National Marine Fisheries Service, State/Federal Liaison office, 9721 Executive Center Drive N., St. Petersburg, FL 33702. You may also obtain the application package from the MARFIN Home Page at: <http://sero.nmfs.noaa.gov/grants/marfin.htm>

Funding Availability: Approximately \$2.5 million may be available in fiscal year (FY) 2005 for projects. This amount includes possible in-house projects. The NMFS Southeast Regional Office anticipates that typical project awards will range from \$30,000 to \$300,000. The

average award is \$78,950. Publication of this notice obligates neither NMFS to award any specific grant nor all or any part of the available funds. Project proposals accepted for funding with a project period over one year do not have to compete for the additional years of funding. However, funding for the additional years is contingent upon the availability of funds and satisfactory performance and is at the sole discretion of the agency.

III. Eligibility Information

Eligible applicants include: Institutions of higher education, other nonprofits, commercial organizations, state, local and Indian tribal governments. Federal agencies or institutions are not eligible. Foreign governments, organizations under the jurisdiction of foreign governments, and international organizations are excluded for purposes of this solicitation since the objective of the MARFIN program is to optimize research and development benefits from U.S. marine fishery resources.

Cost Sharing: Cost-sharing is not required for the MARFIN program.

IV. Application and Submission Information

You must submit one signed original and nine copies of the completed application (including supporting information). We will accept neither facsimile applications, nor electronically forwarded applications.

Address to Request Application Package: You can obtain an application package from, and send your completed applications(s) to: Ellie Francisco Roche, Chief, State/Federal Liaison Office, Southeast Regional Office, NMFS, 9721 Executive Center Drive, N., St. Petersburg, FL 33702. You may also obtain the application package from the MARFIN Home Page at: <http://sero.nmfs.noaa.gov/grants/marfin.htm>.

Content and Form of Application Submission - We will award grants or cooperative agreements for a maximum period of up to three years, consisting of one, two, or three budget periods. The award period depends upon the duration of funding requested in the application, the decision of the NMFS selecting official on the amount of funding, the results of post-selection negotiations between the applicant and NOAA officials, and pre-award review of the application by NOAA and DOC officials. Normally, each project budget period is 12 months in duration.

National Environmental Policy Act - 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_TOC.pdf, and the Council on Environmental Quality implementation regulations, http://ceq.eh.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, aquaculture projects, and impacts to coral reef systems). In addition to providing specific information that will serve as the basis for any required impact analyses, applicants may also be requested to assist NOAA in drafting of an environmental assessment, if NOAA determines an assessment is required. Applicants will also be required to cooperate with NOAA in identifying and implementing feasible measures to reduce or avoid any identified adverse environmental impacts of their proposal. The failure to do so shall be grounds for the denial of an application.

The Department of Commerce Pre-Award Notification Requirements for Grants and Cooperative Agreements contained in the Federal Register notice of October 1, 2001 (66 FR 49917), as amended by the Federal Register notice published on October 30, 2002 (67FR 55109), is applicable to this solicitation. The standard forms in a MARFIN application include the MARFIN Project Budget and the MARFIN Project Summary. Applicants should contact the NMFS Southeast Regional Office for copies of this solicitation's MARFIN application forms (see Addresses). You may also obtain the application package from the MARFIN Home Page at: <http://sero.nmfs.noaa.gov/grants/marfin.htm>.

Project applications must identify the principal participants, and include copies of any agreements describing the specific tasks to be performed by participants. Project applications should give a clear presentation of the proposed work, the methods for carrying out the project, its relevance to managing and enhancing the use of Gulf of Mexico and/or South Atlantic fishery resources, and cost estimates as they relate to specific aspects of the project. All applications must include funding for the principal investigator to participate in an annual MARFIN Conference in the southeast regional area at the completion of the project. Budgets must include a detailed breakdown, by category of

expenditures, with appropriate justification for both the Federal and non-Federal shares.

Applications should exhibit familiarity with related work that is completed or ongoing. Proposals should state whether the research applies to the Gulf of Mexico, South Atlantic or North Atlantic for highly migratory species or multiple areas. Successful applicants are required to collect and manage data in accordance with standardized procedures and format approved or specified by NMFS and to participate with NMFS in specific cooperative activities that are determined by consultations between NMFS and successful applicants before project grants are awarded. All data collected as part of an awarded grant must be provided to the National Marine Fisheries Service.

Applications must be one-sided and unbound. Incomplete applications will be returned to the applicant. Ten copies (one original and nine copies) of each application are required and should be submitted to the NMFS Southeast Regional Office, State/Federal Liaison Office (see Addresses). The Office of Management and Budget (OMB) has approved 10 copies, under OMB Control No. 0648-0175.

Submission Dates and Times - We must receive your application by close of business (5 p.m. eastern daylight time on August 30, 2004. Applications will be date stamped to show date and time received. Applications received after that time will not be considered for funding.

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

Funding Restrictions - If you have a negotiated indirect cost rate with a Federal agency, the total dollar amount of the indirect costs awarded under this program will not exceed the indirect cost rate negotiated and approved by a cognizant Federal agency prior to the proposed effective date of the award or 25 percent of the Federal share of the total proposed direct costs dollar amount in the application, whichever is less. A copy of the agreement with the a Federal agency for the current negotiated indirect cost rate must be included with the application. If the applicant does not have a negotiated indirect cost rate agreement, then they may direct cost all charges, or submit a request to establish a rate.

Construction is not an allowable activity under this program. Therefore, applications will not be accepted for construction projects.

Other Submission Requirements - You must also be available to respond to questions during the review and evaluation of the proposal(s). Send your completed application(s) to: National Marine Fisheries Service, State/Federal Liaison office, 9721 Executive Center Drive N., St. Petersburg, FL 33702.

V. Application Review Information

When we receive applications we will screen them to ensure that they were received by the deadline date (see Dates); include SF 424 signed and dated by an authorized representative; were submitted by an eligible applicant; address one of the funding priorities for federally managed species; and include a budget, statement of work, and milestones, and identify the principal investigator. We do not have to screen applications before the submission deadline in order to identify deficiencies that would cause your application to be rejected so that you would have an opportunity to correct them. However, should we do so and provide you information about deficiencies, or should you independently decide it is desirable to do so, you may correct any deficiencies in your application before the deadline.

After the deadline, the application must remain as submitted; no changes can be made to it. If your application does not conform to these requirements and the deadline for submission has passed, the application will be returned without further consideration.

Evaluation Criteria - Applications responsive to this solicitation will be evaluated by three or more appropriate private and/or public sector experts to determine their technical merit. These reviewers will provide individual evaluations of the proposals. No consensus advice will be given. These reviewers provide comments and assign scores to the applications based on the following criteria, with the weights shown in parentheses:

1. Importance/relevance and applicability of proposed projects to the program goals (35%): This criterion ascertains whether there is intrinsic value in the proposed work and/or relevance to NOAA, Federal, regional, state, or local activities. For this competition, this includes: Does the proposal have a clearly stated goal(s) with associated objectives that meet the needs outlined in the project narrative? How effective are the proposed methods in enabling the principal investigators to maintain stewardship of the project performance, finances, cooperative relationships, and reporting requirements?

2. Technical/scientific merit (40%): This criterion assesses whether the approach is technically sound and/or innovative, if the methods are appropriate, and whether there are clear project goals and objectives. For this competition, this includes: Does the proposal clearly identify and describe, in the project outline and statement of work, scientific methodologies and analytical procedures that will adequately address project goals and

objectives? Do the principal investigators provide a realistic timetable to enable full accomplishment of all aspects of the research?

3. Overall qualifications of applicants (15%): This criterion ascertains whether the applicant possesses the necessary education, experience, training, facilities, and administrative resources to accomplish the project. For this competition, this includes: Does the applicant possess the necessary education and identify the appropriate resources to complete the project?

4. Project costs (10%): This criterion evaluates the budget to determine if it is realistic and commensurate with the project needs and time-frame. For this competition, this includes: Does the budget appropriately allocate and justify costs?

5. Outreach and education (0%): This criterion assesses whether the project provides a focused and effective education and outreach strategy regarding NOAA's mission to protect the Nation's natural resources. This criterion is not used by the MARFIN competition.

Review and Selection Process - Following the technical review, we will determine the weighted score for each individual review and average the individual technical review scores to determine the final technical score for each application. Then, we will rank applications in descending order by their final technical scores. A "cutoff" score of 70% will be used and those applications that scored below the cutoff will be eliminated from further consideration.

MARFIN Panel: Those applications at or above the cutoff technical evaluation score will be presented to a panel of non-NOAA fishery experts known as the MARFIN Panel. Each member of the MARFIN Panel individually considers if needs of the Agency are addressed in each proposal, if the project assists industry, and if the project addresses issues that are important to regional fisheries management. The individuals on the MARFIN Panel provide comments and rate each of these proposals as either "Recommended for Funding" or "Not Recommended" for Funding. No consensus advice will be given by the panel. The Program Manager ranks the proposals in the order of preferred funding, based on the number of MARFIN Panel members recommending the proposal for funding.

Regional Administrator: The ranked proposals are provided to the Regional Administrator, who is the selecting official, in the order of preferred funding, based on the number of MARFIN Panel members recommending the proposal for funding. If there are ties in the rankings, those ties will be distinguished by the peer review score. The Regional Administrator also receives the MARFIN Panel members' individual comments. The Regional Administrator, in consultation with the Assistant Administrator for Fisheries, selects proposals after

considering the technical reviews and the selection factors listed below. The Selecting Official may negotiate the funding level of the proposal. The Selecting Official makes final recommendations for award to the Grants Officer who is authorized to obligate funds.

Selection Factors - The merit review ratings shall provide a rank order to the Selecting Official for final funding recommendations. The Selecting Official shall award in the rank order unless the proposal is justified to be selected out of rank order based on below factors. The Regional Administrator will justify in writing any such selection.

1. Availability of funding
2. Balance/distribution of funds
 - a. Geographically
 - b. By type of institutions
 - c. By type of partners
 - d. By research areas
 - e. By project types
3. Duplication of other projects funded or considered for funding by NOAA/federal agencies
4. Program priorities and policy factors
5. Applicant's prior award performance
6. Partnerships with/Participation of targeted groups
7. Adequacy of information necessary for NOAA staff to make a NEPA determination and draft necessary documentation before recommendations for funding are made to the Grants Officer.

VI. Award Administration Information

Award Notices - Successful applications generally are recommended within 150 days from the date of publication of this notice. The earliest start date of awards average 90 days after each project is selected and after all NMFS/applicant negotiations of cooperative activities have been completed. The earliest start date of awards is about 180 days after the date of publication of this notice. Applicants should consider this selection and processing time in developing requested start dates for their applications. Unsuccessful applications will be returned to the applicant.

The exact amount of funds awarded, the final scope of activities, the project duration,

and specific NMFS cooperative involvement with the activities of each project are determined in pre-award negotiations between the applicant, the NOAA Grants Office and the NMFS Program Office. Projects must not be initiated by recipients until a signed award is received from the NOAA Grants Office.

Administrative and National Policy Requirements - This notice contains collection-of-information requirements subject to the Paperwork Reduction Act. The use of the MARFIN Project Budget and MARFIN Project Summary have been approved under the control number 0648-0175. The use of Standard Forms is identified in the Department of Commerce Pre-Award Notification Requirements for Grants and Cooperative Agreements contained in the Federal Register notice of October 1, 2001 (66 FR 49917), as amended by the Federal Register notice published on October 30, 2002 (67 FR 66109). The public reporting burden for the collections of information is estimated to average one hour for an application, one hour for a semi-annual report, and one hour for a final report. These estimates include the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding these burden estimates or any other aspect of these collection of information, including suggestions for reducing this burden to Ellie Francisco Roche (see Addresses).

Notwithstanding any other provisions 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 requirements subject to the Paperwork Reduction Act, unless that collection displays a currently valid OMB control number.

If you are selected to receive a grant award for a project, you must:

- Manage the day-to-day operations of the project, be responsible for the performance of all activities for which funds are granted, and be responsible for the satisfaction of all administrative and managerial conditions imposed by the award.

- Keep records sufficient to document any costs incurred under the award, and allow access to these records for audit and examination by the Secretary of Commerce, the Comptroller General of the United States, or their authorized representatives; and submit financial status reports (SF 269) to NOAA Grants in accordance with the award conditions.

Reporting- If you are selected to receive a grant award for a project you must:

- Submit semiannual project status reports on the use of funds and progress of the project to us

within 30 days after the end of each six-month period. You will submit these reports to the individual identified as the NMFS Program Officer in the funding agreement.

- Submit a final report within 90 days after completion of each project to the NMFS Program Officer. The final report must describe the project and include an evaluation of the work you performed and the results and benefits in sufficient detail to enable us to assess the success of the completed project.

- Submit all data collected as part of the project to the NMFS partner. Project data must be edited and verified as accurate by the applicant prior to being submitted to the NMFS. Data must be submitted in the agreed upon format.

- In addition to the final report, we request that you submit any publications printed with grant funds (such as manuals, surveys, etc.) to the NMFS Program Office for dissemination to the public.

We are committed to using available technology to achieve the timely and wide distribution of final reports to those who would benefit from this information. Therefore, you are encouraged to submit final reports in electronic format, in accordance with the award terms and conditions for publication on the MARFIN Home Page. You may charge the costs associated with preparing and transmitting your final reports in electronic format to the grant award.

VII. Agency Contact(s)

For questions regarding the application process, you may contact: Ellie Francisco Roche, Chief, State/Federal Liaison Office, (727) 570-5324, or Ellie.Roche@noaa.gov.

VIII. Other Information

We are strongly committed to broadening the participation of Historically Black Colleges and Universities, Hispanic Serving Institutions, and Tribal Colleges and Universities in its educational and research programs. Department of Commerce (DOC)/NOAA's goals are to achieve full participation by Minority Serving Institutions (MSI) in order to advance the development of human potential, to strengthen the nation's capacity to provide high-quality education, and to increase opportunities for MSIs to participate in and benefit from Federal financial assistance programs. DOC/NOAA encourages all applicants to include meaningful participation of MSIs.

