

FORM CD-450 (REV 12/14)		<input type="checkbox"/> GRANT <input checked="" type="checkbox"/> COOPERATIVE AGREEMENT	
U. S. DEPARTMENT OF COMMERCE		FEDERAL AWARD ID NUMBER	
<b>FINANCIAL ASSISTANCE AWARD</b>		<b>NA16NOS0120022</b>	
RECIPIENT NAME UNIVERSITY OF CALIFORNIA, SAN DIEGO		PERIOD OF PERFORMANCE 06/01/2016-05/31/2021	
STREET ADDRESS 8622 DISCOVERY WAY RM 116		FEDERAL SHARE OF COST \$2,418,098.00	
CITY, STATE, ZIP CODE LA JOLLA CA 92093-1500		RECIPIENT SHARE OF COST \$0.00	
AUTHORITY 33 U.S.C. 3601-3610		TOTAL ESTIMATED COST \$2,418,098.00	
CFDA NO. AND NAME 11.012 , Integrated Ocean Observing System (IOOS)			
PROJECT TITLE INTEGRATED OCEAN OBSERVING SYSTEM IMPLEMENTATION: SOUTHERN CALIFORNIA COASTAL OCEAN OBSERVING SYSTEM (SCCOOS)			
<p><b>This Award Document (Form CD-450) signed by the Grants Officer constitutes an obligation of Federal funding. By signing this Form CD-450, the Recipient agrees to comply with the Award provisions checked below and attached. Upon acceptance by the Recipient, the Form CD-450 must be signed by an authorized representative of the Recipient and returned to the Grants Officer. If not signed and returned without modification by the Recipient within 30 days of receipt, the Grants Officer may unilaterally withdraw this Award offer and de-obligate the funds.</b></p> <p><input checked="" type="checkbox"/> DEPARTMENT OF COMMERCE FINANCIAL ASSISTANCE STANDARD TERMS AND CONDITIONS (DECEMBER 2014)</p> <p><input type="checkbox"/> R &amp; D AWARD</p> <p><input type="checkbox"/> FEDERAL-WIDE RESEARCH TERMS AND CONDITIONS, AS ADOPTED BY THE DEPT. OF COMMERCE</p> <p><input checked="" type="checkbox"/> BUREAU-SPECIFIC ADMINISTRATIVE STANDARD AWARD CONDITIONS</p> <p><input checked="" type="checkbox"/> SPECIAL AWARD CONDITIONS</p> <p><input checked="" type="checkbox"/> LINE ITEM BUDGET</p> <p><input checked="" type="checkbox"/> 2 CFR PART 200, UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS, AS ADOPTED PURSUANT TO 2 CFR § 1327.101</p> <p><input type="checkbox"/> 48 CFR PART 31, CONTRACT COST PRINCIPLES AND PROCEDURES</p> <p><input checked="" type="checkbox"/> MULTI-YEAR AWARD (PLEASE SEE THE MULTI-YEAR SPECIAL AWARD CONDITION.)</p> <p><input checked="" type="checkbox"/> DEPARTMENT OF COMMERCE PRE-AWARD NOTIFICATION REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS (REF:79 FR 78390 DECEMBER 30, 2014)</p> <p><input checked="" type="checkbox"/> OTHERS(S):</p> <p>This award is being made under competitive Federal Funding Opportunity Number NOAA-NOS-IOOS-2016-2004378 posted at Grants.gov on 02/11/2015.</p>			
SIGNATURE OF DEPARTMENT OF COMMERCE GRANTS OFFICER		DATE	
Alan Conway Grants Officer		05/16/2016	
PRINTED NAME, PRINTED TITLE AND SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL		DATE	

# Special Award Conditions

**Award Number:** NA16NOS0120022

**Amendment Number:** 0

## 1) Data Management and Communication (DMAC) Plan

Recipients shall submit a data management plan, based on the data management plan templates ([http://www.ioos.noaa.gov/data/data\\_management\\_plans.html](http://www.ioos.noaa.gov/data/data_management_plans.html)) published by NOAA. The plan should describe the approach for addressing the requirements listed in the Data Provider Guidelines ([http://www.ioos.noaa.gov/data/data\\_management\\_plans.html](http://www.ioos.noaa.gov/data/data_management_plans.html)) published by IOOS. This plan should draw from materials developed as part of an application for certification (<http://www.ioos.noaa.gov/certification/welcome.html>) and shall be submitted six months after the certification application is approved. If the recipient is not seeking certification within the first year of the award, then the data management plan must be submitted within six months of the award start date. In addition to the topics covered in the Data Management Plan templates, the plan should include a section describing the recipient's plans to aggregate, ingest, and manage data from state, local, and tribal data providers within the regional footprint but whose data collection activities are not funded by the regional association. Recipients should work with the IOOS Program Office when creating the Data Management Plans to ensure that the appropriate level of detail and scope is achieved. Specific guidance on the format of the data management plans can be found on the IOOS web site .

**Due Date: 03/01/2017**

## 2) FY16 Revised Work Plan

The amount of funding available for this award, from IOOS and/or other federal partners, is less than the amount requested for fiscal year (FY) 2016 due to appropriations. The recipient is required to provide a revised work plan, based on program priorities discussed with your regional point of contact, detailing the products and services you will be able to deliver at this new funding level this FY. The revised work plan must include budgets and budget justifications, in accordance with NOAA's Acquisition and Grants Office guidance (<http://www.ago.noaa.gov/grants/training.html>), for the prime and all sub award recipients. Please initiate an award action request to satisfy special award condition and select "FY16 Revised Work Plan" from the drop down menu no later than Sunday, July 31, 2016 for program office review and Grants Officer approval. Failure to submit a revised work plan by the specified date may result in the suspension of your Automated Standard Application for Payments (ASAP) account.

**Due Date: 07/31/2016**

## 3) Performance Progress Reports

Project Progress Reports are due on a semi-annual basis, no later than 30 days following the end of each six (6) month period from the start date of the original award. A comprehensive final Project Progress Report is due within 90 days after the award expiration date and will include the last interim reporting period.

## 4) Leveraging Federal Funds in Conjunction with Non-Federal Funds

There is no prohibition against the funds awarded on this cooperative agreement from being leveraged against non-

Federal sources, i.e., state and local governments or private sector industries, as determined by the non-Federal entities. Notwithstanding any such leveraging, the recipient of this award must execute this project in accordance with the terms and conditions.

### **5) Cooperative Agreement**

The federal government, NOAA in particular, will be substantially involved in the execution of this project which will further develop the regional component of the U.S. Integrated Ocean Observing System (IOOS®). NOAA, specifically the IOOS Program Office, will be involved in the following activities: a) NOAA will engage the recipient in planning and implementation of the regional component of U.S. IOOS nationally; b) NOAA will engage the award recipient in routine project/program assessment(s) to discuss objectives, progress, issues, and performance. c) NOAA will work with project recipients in the development of data standards and protocols that facilitate data sharing and integration; and d) NOAA reserves the right to terminate funding for the award at any time throughout the award period should NOAA determine that a grantee is not meeting project milestones as outlined in the application submitted to the NOAA Grants Management Division for funding.

### **6) Emergency Response**

In the event of national or regional emergencies regional IOOS assets, including equipment and personnel, may be deployed outside of their geographic region to assist with response or restoration activities. In such cases, clear need and requests for these assets must be established by the relevant authorities and via the appropriate mandates. In addition, resource support for these mobilized assets shall be clearly defined and formalized prior to deployment.

### **7) Post Award NEPA Review Process**

NOAA, in particular the National Ocean Service (NOS) and its Program and Staff Offices (P/SOs), engage in a wide range of activities that have the potential to impact the environment. NOS P/SOs are responsible for ensuring their activities are carried out in compliance with all applicable federal environmental regulations and Executive Orders (EOs) by conducting a National Environmental Policy Act (NEPA) analysis of all financial assistance awards. To that end, IOOS prepared a Programmatic Environmental Assessment (PEA). The most recent draft of the PEA can be found online here: [http://www.ioos.noaa.gov/about/governance/environmental\\_compliance.html](http://www.ioos.noaa.gov/about/governance/environmental_compliance.html). By accepting this award, the recipient agrees:

a. No funds will be expended on any activities that were not sufficiently defined at the time this 5-year cooperative agreement was proposed. Before expending funds from this award on any activity taking place in the natural environment, the recipient must demonstrate compliance with applicable environmental regulations by providing the IOOS program office with details of the activity, including copies of all permits, licenses, or authorizations received by the recipient from a permitting, licensing, or authorizing agency. Once the program office has consulted with the appropriate environmental compliance statute offices and completed a tiered, site specific analysis for the affected projects, the recipient may start work.

b. To adhere to the procedures and mitigation measures identified in the PEA.

c. To provide documentation or input that aids in the program office's ability to (1) research and develop environmental reviews; (2) develop content for inclusion in Federal Register Notices; and (3) execute public scoping or commenting meetings.

Activities for which no funds may be expended until NOAA can analyze for potential extraordinary circumstances and NEPA can be determined are:

1. Shore stations and moorings
2. Vessels and Sampling
3. Field Training for First Responders
4. Glider and Transects

The recipient must work with the program office environmental compliance coordinator to satisfy this SAC.

#### **8) New Award**

This award number NA16NOS0120022, to the University of California, San Diego, supports the work described in the Recipient's proposal entitled "Integrated Ocean Observing System Implementation: Southern California Coastal Ocean Observing System (SCCOOS)" dated 08/28/2015, which is incorporated into the award by reference. Where the terms of the award and proposal differ, the terms of the award shall prevail.

#### **9) Tangible Property Reporting**

Equipment costs and/or supplies have been identified or budgeted in the grant application. The recipient must report such costs to NOAA. The SF-428, SF-428-B (final report) and, as needed, the SF-428S (inventory list) are due no later than 90 days after the project end date. The SF-428-C (disposition request form) must be submitted when the property is no longer required for its intended purpose. These forms can be accessed at [http://www.whitehouse.gov/omb/grants\\_form](http://www.whitehouse.gov/omb/grants_form). Please note that DOC does not permit option 2b (i) on the SF-428B. (The SF-428-C is not required for research awards.)

#### **10) NOAA Environmental Data and Information**

Environmental data and information, collected and/or created under this grant/cooperative agreement will be made visible, accessible and independently understandable to users, free of charge or at minimal cost, in a timely manner (typically no later than two (2) years after the data are collected or created), except where limited by law, regulation, policy or by security requirements.

1. The Data/Information Sharing Plan (and any subsequent revisions or updates) will be made publicly available at time of award and, thereafter, will be posted with the published data
2. Environmental data and information produced under this award and which are made public must be accompanied by

the following statement: These environmental data and related items of information have not been formally disseminated by NOAA and do not represent and should not be construed to represent any agency determination, view, or policy.

3. NOAA may at its own discretion, use information from the Data/Information Sharing Plan to produce a formal metadata record and include that metadata in a catalogue to indicate the pending availability of new data.

4. Failing to share environmental data and information in accordance with the submitted Data/Information Sharing Plan may lead to disallowed costs and be considered by NOAA when making future award decisions.

### **11) Multi-Year Special Award Condition**

The award period and budget(s) incorporated into this award cover a 5-year period for a total amount of \$20,000,000 in Federal funds. However, Federal funding available at this time is limited to \$2,418,098 for this funding period. Receipt of any prospective funding is contingent upon the availability of funds from Congress, satisfactory performance, continued relevance to program objectives, and will be at the sole discretion of the Department of Commerce. The Department of Commerce is not liable for any obligations, expenditures, or commitments which involve any amount in excess of the Federal amount presently available. The Recipient will be responsible for any and all termination costs it may incur should prospective funding not become available. No legal liability will exist or result on the part of the Federal Government for payment of any portion of the remaining funds which have not been made available under the award. Notifications affecting funding or notice of non-availability of additional funding for prospective years will be made only by the Grants Officer. The amendment to obligate prospective funding available shall be made on Form CD-451, "Amendment to Financial Assistance Award," if at all possible prior to the expiration of each year's activities.

The funding period for this award is 06/01/2016 through 05/31/2017 and may be extended through 05/31/2021.