

# Oregon Sea Grant

## Request for Preliminary Proposals

### 2016-2018 Biennial Competition

***Preliminary Proposals Due: Friday, February 13, 2015, before 5:00 p.m. PST***

***Full Proposal Invitations: Friday, March 13, 2015***

***Full Proposals Due: Monday, May 15, 2015, before 5:00 p.m. PST***

Late and/or incomplete applications will not be considered.

**Individual Requests: Not to exceed \$115,000 per year**

**Anticipated Funding: Seven to eight projects**

**Project Duration: February 1, 2016 through January 31, 2018**

Funding levels are set by the NOAA Sea Grant Program based on congressional appropriations, and are subject to change and rescission.

#### **Executive Summary:**

The Oregon Sea Grant College Program invites preliminary proposals from researchers who are affiliated with any Oregon institution of higher education for research projects that address cutting-edge socioeconomic and biophysical science related to important marine and coastal issues. Oregon Sea Grant (OSG) supports the highest quality marine and coastal research characterized by strong societal relevance, so only the most creative and rigorously conceived proposals will receive consideration. Each research project must include an outreach and engagement component designed to integrate potential information users and stakeholders into the research process and ensure the research results will be useful and usable to these constituencies. Projects will be selected through an open, competitive, peer-review process. Proposed work may begin on either February 1, 2016, or February 1, 2017. Available funding is set by the NOAA Sea Grant Program based on congressional appropriations.

Preliminary proposals are reviewed by external scientific experts, a citizen advisory council and Oregon Sea Grant leadership to ensure that they match the priorities and goals set forth in our strategic plan. Based on these evaluations, OSG will issue invitations for full proposals. Full proposals undergo independent external peer reviews as well as science panel and citizen advisory panel reviews for scientific excellence and societal relevance, respectively. Please carefully read all guidelines as items in the request for preliminary proposals have changed for the 2016-2018 biennium.

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### I. Introduction

Oregon Sea Grant directs resources to the pressing problems of Oregon's coastal communities, often identified by local stakeholders. This includes socioeconomic and biophysical research addressing issues such as development and management of coastal communities; hazard resiliency; understanding human interactions with the marine environment; aquaculture; seafood safety; and fisheries management. The results of this research are shared with stakeholders through various pathways, often via Sea Grant's integrated outreach and engagement program, which brings together the collective expertise of on-the ground extension agents, educators and communications specialists. The goal is to ensure that vital research results are shared with those who need it most and in ways that are timely, relevant and meaningful.

### About Us

Oregon Sea Grant is one of the nation's four original Sea Grant Colleges; we achieved Sea Grant College status in 1971. For more than 4 decades, Oregon Sea Grant has made significant contributions to the rational management, use, and conservation of coastal and marine resources. These contributions are far greater than one might expect based on the modest size of the program. Careful identification of needs, reasoned risk-taking, leveraging of resources, partnering with other organizations, businesses and individuals are among the tools that Oregon Sea Grant uses to insure that its activities make a positive difference in the well-being of coastal resources and communities in the state and the nation. The program is integral to the fabric of Oregon State University and to the state of Oregon. We take great pride in its many research and outreach accomplishments.

On-going changes and challenges continue to confront communities, managers, and living resources on the coast of Oregon and throughout the region. Oregon Sea Grant plays an important role in addressing challenges and seizing opportunities by funding and communicating applied research, engaging and connecting stakeholders, and informing and engaging the public.

Please go to <http://seagrant.oregonstate.edu/> to see more about Oregon Sea Grant and our current activities.

## II. General Information about Proposal Submission

### A. Draft Schedule of Dates for Proposal Submission and Review

Preliminary Proposals Due:	Friday, February 13, 2015, before 5:00 p.m. PST
Invitations for Full Proposals:	Friday, March 13, 2015
Full Proposals Due:	Friday, May 15, 2015, before 5:00 p.m. PST
Peer Review Period:	May 18, 2015 – August 7, 2015
Reviews to Investigators:	August 14, 2015
Investigator Responses to Reviews Due:	August 21, 2015
<i>Tentative</i> Notice of Funding Decisions:	Wednesday, September 30, 2015
Successful Projects Begin:	February 1, 2016 or February 1, 2017

### B. Eligibility Information

Preliminary proposals may be submitted by faculty of any public or private institution of higher education in Oregon; the project's lead Principal Investigator must be a faculty member. While non-academic researchers may be included among the investigators, awards will be made only through colleges and universities. We encourage the involvement of collaborators and researchers who are not Oregon university faculty (collaborators may be with industry, state/regional agencies, NGOs, and/or other research institutions). *NOTE: Only one preliminary proposal per lead Principal Investigator may be submitted.* Direct salary support for individuals from state and federal agencies and for-profit and foreign organizations is not allowed, however, these contributions can be counted as matching or in-kind support for the project. Project participants who are employees of Sea Grant may be part of a project team and serve as co-PIs, but they may not be project lead Principal Investigators. Project budgets for Sea Grant employees may include support for activities, but not salary or benefits.

### C. Project and Pre-Proposal Criteria (what we are looking for)

An ideal Sea Grant proposal would apply the best science and an innovative approach to a well-defined coastal or marine problem or opportunity that is important to Oregon, the Pacific Northwest Region, and the nation. All proposals must state how they match up with the Oregon Sea Grant 2014–17 Strategic Plan, available on our website:

<http://seagrants.oregonstate.edu/about/strategic-plan>

The two primary criteria for evaluating proposals are 1) scientific excellence and 2) societal relevance, which includes relevance of the proposed work to addressing the strategic goals supporting Oregon Sea Grant's four focus areas, and the potential for societal impact. Funded projects will have both of these. Each proposal **must** also include an outreach or engagement component designed to extend the research findings to potential stakeholders and information users. The four focus areas highlighted in our 2014-17 Strategic Plan are:

- Healthy Coastal Ecosystems and Habitats
- Sustainable Fisheries and Aquaculture
- Resilient Communities and Economies
- Environmental Literacy and Workforce Development

### Students

Oregon Sea Grant encourages proposals that include support (i.e., salary, benefits, tuition, travel) for graduate and undergraduate students to work on proposed research projects. All

students supported by Sea Grant are considered Sea Grant Scholars. The Oregon Sea Grant's Scholars Program helps create a community for supported students and provides them with professional development opportunities, giving them the ability to connect research to appropriate outreach. The Oregon Sea Grant Scholars supported on funded proposals are expected to participate in Oregon Sea Grant activities, such as orientation meetings, workshops, and colloquia, at which students will present their work to other Sea Grant Scholars researchers, faculty, and staff.

### **Multi-institutional Teams**

We strongly encourage multi-institutional approaches to state and regional issues. As such, proposals that mobilize the best research talent to address complex issues may involve funding from more than one Sea Grant program. Since such an approach is administratively complex, we suggest that investigators informally discuss ideas with us before submitting such a preliminary or full proposal.

In addition, successful proposals are also likely to:

- show significant progress within two years
- focus on prediction and/or problem solving (rather than explanation)
- focus on outcomes and clearly show how and to whom the work would make a difference
- include meaningful collaboration with industry, agencies, communities, or other stakeholders
- be transdisciplinary in nature, for example, combine socioeconomic and biophysical approaches, such as an integrated sociology and engineering study
- have a clearly conceived and adequately resourced Outreach and Engagement plan
- have substantive evidence of co-funding or co-support from interested stakeholders and partners
- request less than \$115,000 per year and provide convincing justification for the funds
- describe how the research may benefit stakeholders and explore potential long-term impacts to society

### **Preliminary Proposals**

For complete consideration for the Oregon Sea Grant 2016–2018 Biennial Competition, you must submit a preliminary proposal (pre-proposal) narrative, a short two-page vitae of all senior personnel and their current and pending support, and a budget estimate. Guidance for writing the pre-proposal follows.

We will be using eSeaGrant, the California Sea Grant's web-based tool for submitting, reviewing, updating, and tracking grant proposals, for this call. Applicants (the lead principal investigator) must register and submit all pre-proposal related materials via the on-line submission "portal" at [https://eSeagrant.ucsd.edu/RFP/proposals/cpanel\\_login.php](https://eSeagrant.ucsd.edu/RFP/proposals/cpanel_login.php) before **5:00 p.m. PST on Friday, February 13, 2015**. Applicants will be submitting to the competition labeled "Oregon Sea Grant 2016-18 Biennial Call." Instructions are provided as you log on.

Information required for the pre-proposal in eSeaGrant includes:

1. Anticipated Title of Proposed Project.
2. Expected Project Duration.
3. Total Budget Request Estimate: all years combined, non-binding, in good-faith.

4. Lead Principal Investigator: Name, Title, Institutional Affiliation Contact Information, and Curriculum Vitae.
5. Known and Anticipated Co-Investigator: Names, Titles Institutional Affiliations, and Curriculum Vitae.
6. Potential Peer Reviewer Information (must be from outside of Oregon), including: Names, Titles, Institutional Affiliation, and potential Conflicts of Interest.
7. Preliminary Proposal Narrative: Preliminary proposal narratives cannot exceed four single-spaced pages with one-inch margins, using a 12-pt font, including references and figures.

NOTE: Preliminary Proposals (including the budget estimate) do not need departmental approval, nor do they need to be certified by project personnel.

If you have technical problems with completion and submission of your pre-proposal, please contact Sarah Kolesar, Research and Scholars Program Leader, at 541-737-8695 or [Sarah.Kolesar@oregonstate.edu](mailto:Sarah.Kolesar@oregonstate.edu). Upon submission of the pre-proposal, you should receive an automated email from the eSeaGrant system. If you do not receive an email reply within 24 hours, please contact us via telephone ASAP.

#### **D. Duration of Grant**

The expected duration of the grant is 12–24 months. Proposed work should begin February 1, 2016 or February 1, 2017, and be completed by January 31, 2018. Requests for support exceeding two years will not be considered. Proposals to continue work beyond the initial one or two years should be entered into a future competition.

#### **E. Funding**

Although proposals requesting larger amounts will be accepted, proposals that request \$115,000 or less per year will have a competitive advantage since we want to fund as many efforts as possible, all else being equal. Not all excellent proposals can be funded.

Grant funding comes from our NOAA appropriation and totals about \$1.7 million over two years, assuming no changes in the federal Sea Grant appropriation. Funding levels are subject to change and rescission based on Congressional actions.

#### **F. Cost-Share Requirement**

Federal law requires that Oregon Sea Grant provide a non-federal cost share of at least 50% of federal funds received. Since our Omnibus Program Plan is a culmination of many projects with cost share from a variety of state, local, or private funds or in-kind services, we can be somewhat flexible on this requirement for individual proposals, but researchers are advised to take non-federal cost share into consideration as they develop their budgets and projects.

#### **G. NOAA Data Sharing Requirement**

Data and information collected and/or created under NOAA grants and cooperative agreements must be made visible, accessible, and independently understandable to general users, free of charge or at minimal cost, in a timely manner (typically no later than two years after the data are collected or created), except where limited by law, regulation, policy or by security requirements. The new requirement has two basic parts: (1) environmental data generated by a

grant project must be made available after a reasonable period of exclusive use, and (2) the grant application must describe the plan to make the data available (PIs are expected to execute the plan).

To comply with this requirement, in the full proposal stage, the Principal Investigator must comply with the process described in eSeaGrant, and in that full proposal, explain how the data and metadata will be provided. Funds may be budgeted in the project proposal for this task. For the pre-proposal, the Principal Investigator must simply agree in writing that they intend to follow this NOAA requirement.

### **III. Proposal Development and Evaluation Process**

The development and review of Sea Grant proposals is a multi-step process:

1. The pre-proposal is submitted to Oregon Sea Grant via [eSeaGrant](#) before 5:00 p.m. PST on Friday, February 13, 2015. No Full proposals will be accepted without a pre-proposal. No incomplete or late submissions will be accepted.
2. Pre-proposals will be reviewed by peer reviewers (out-of-state U.S. and international experts in the proposed area of research), the Oregon Sea Grant Advisory Council, and Oregon Sea Grant Leadership.
3. Invitations for full proposals will be sent by Friday, March 13, 2015. Comments on the pre-proposal and additional instructions will be available via eSeaGrant.
4. Full proposals are to be submitted through [eSeaGrant](#) to Oregon Sea Grant before 5:00 p.m. PST, Monday, May 15, 2015. Full proposals may be submitted by invitation only.
5. Full proposals are rigorously reviewed by at least three out-of-state peer reviewers. Applicants are required to suggest at least three potential reviewers from outside of Oregon; please include potential conflicts of interest.
6. PIs will have one week in late August to respond to reviewer comments via eSeaGrant.
7. A review panel comprised of out-of-state technical experts, a representative from the National Sea Grant Office, and Oregon Sea Grant Leadership will convene to evaluate the proposals, taking into consideration peer reviews and PI responses. The primary objective is to evaluate scientific merit, although societal relevance may also be part of the discussion.
8. The Oregon Sea Grant Advisory Council will provide comments on proposals' expected societal relevance.
9. The Oregon Sea Grant Director and Leadership Team will consider these evaluations and the Director selects a portfolio of the proposals to recommend for funding to the National Sea Grant Office. Final project recommendations also take into account programmatic considerations, such as the overall balance of projects and disciplines in our research portfolio, and the diversity of institutions and investigators supported by Oregon Sea Grant.
10. Final decisions for Oregon Sea Grant-funded proposals are approved by the program manager from the National Sea Grant Office.
11. Applicants will be informed of final decisions in late September of 2015. Oregon Sea Grant reserves the right to negotiate and/or adjust the final grant amount and work plan prior to award, as appropriate and consistent with University policy and funds available.

## IV. Preliminary Proposal Narrative Guidelines

### Decision Criteria

We will fund the best science that is relevant to Oregon stakeholders. Research to gain knowledge solely for its own sake is considered inappropriate for Oregon Sea Grant support. Proposals are rigorously reviewed by at least three peer reviewers from outside of Oregon, a panel of scientists, the Oregon Sea Grant Citizen Advisory Council, and Oregon Sea Grant Leadership. Final funding recommendations are at the discretion of the Oregon Sea Grant Director.

Your pre-proposal narrative should address the following points:

Issue identification: State the research problem and explain how results will benefit society. Include study objectives and rationale.

Alignment: Address how the work relates to the mission and priorities identified by the Oregon Sea Grant Strategic Plan, including links to at least one of the four Focus Areas and its strategic goals.

Proposed Research Summary: Briefly introduce the methodology.

Link to Outreach and Engagement: Researchers are strongly encouraged to interact with their target audience as they develop their proposal. How will the research be extended to those who can apply it?

So what?: What could happen if this proposal were funded? What are the expected outcomes and potential impacts to society and to the research field? What would happen if this proposal were not funded?

Considerations in pre-proposal evaluations include:

1. **Scientific or Professional Merit:** The degree to which the activity will advance the state of the science or discipline through use and extension of state-of-the-art and innovative methods, while learning from previous findings. Innovativeness is defined as applying new approaches to solving problems and exploiting opportunities in resource management or development, or in public outreach on such issues; alternatively, it can be the degree to which the activity will focus on new types of important or potentially important resources and issues.
2. **Societal Relevance and Rationale:** The clarity with which the proposed activity addresses an important issue, problem, or opportunity in development, use, or management of marine or coastal resources. Some questions to consider—Does the proposed work appear to lead to real solutions to real problems? Is the proposed work likely to make a positive difference to society and stakeholders? Does the proposed work seem likely to influence resource/coastal/ocean management by businesses and agencies? Does the proposed work appear to be applicable beyond a specific local community? Can it raise public awareness/education about the problem/solutions addressed?
3. **Outreach/Education/Extension and User Relationship:** Investigators must present a clear rationale for the proposed project, expected outcomes from the research, and beneficiaries of the proposed work. Pre-proposals are expected to briefly describe stakeholder engagement goals and how they will be achieved through outreach and/or education. Describe how the project will engage stakeholders (e.g., local coastal communities, public and private sectors) along the way.

## **V. Contacts**

Researchers preparing preliminary proposals for possible Oregon Sea Grant funding should contact the program with their questions.

- For questions about proposal topics or the overall funding policy, contact Oregon Sea Grant Director [Shelby Walker](#). (541-737-6200)
- For questions on the application, review and approval process, the Scholars program or technical questions regarding eSeaGrant, contact Research and Scholars Program Leader [Sarah Kolesar](#). (541-737-8695)
- For questions on Sea Grant public engagement programs, projects and faculty, contact Extension Program Leader [Dave Hansen](#). (541-737-2737)