

# **Oregon Sea Grant**

## **Request for Preliminary Proposals**

### **2018-2020 Biennial Research Competition**

***Preliminary Proposals Due:***

***Tuesday, February 21, 2017, before 5:00 p.m. PST***

***Full Proposal Invitations: Friday, March 31, 2017***

***Full Proposals Due: Friday, May 26, 2017, 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: Three to five projects**

**Project Duration: February 1, 2018 through January 31, 2020**

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. New to this competitive funding call are designated “office hours” opportunities to meet with Oregon Sea Grant outreach and engagement professionals to plan that component of the project. Projects will be selected through an open, competitive, peer-review process. Proposed work may begin on either February 1, 2018 or February 1, 2019. Available funding is set by the NOAA Sea Grant Program based on congressional appropriations.

Preliminary proposals are reviewed by external scientific experts for scientific merit and innovation, by our citizen advisory council for societal relevance, and by Oregon Sea Grant leadership for alignment with the goals and priorities set forth in our strategic plan and this Request for Proposals. Based on these evaluations, OSG will issue invitations for full proposals. Full proposals undergo independent external peer reviews as well as technical panel and citizen advisory panel reviews for scientific excellence, societal relevance, and applicable outreach and

engagement, respectively. Please carefully read all guidelines as items in the request for preliminary proposals have changed for the 2018-2020 biennium.

## Table of Contents

I	Introduction	2
II	General Submission Information	
	A. Schedule of Dates	3
	B. Eligibility Information	3
	C. Project and Pre-Proposal Criteria	3
	D. Duration of Grant	6
	E. Funding	6
	F. Cost-Share Requirement	6
	G. NOAA Data Sharing Requirement	6
III	Proposal Development and Evaluation Process	7
IV	Preliminary Proposal Narrative Guidelines	8
	A. Preliminary Proposal Development and Evaluation Process	8
	B. Decision Criteria	9
V	Full Proposal Narrative Guidelines	10
VI	Contacts for Further Information	10

## I. Introduction

Oregon Sea Grant directs resources to the most pressing problems of Oregon’s coastal communities, often identified by local stakeholders. This includes socioeconomic and biophysical research addressing issues such as adaptation to acute or chronic coastal hazards; cultural beliefs, learning, and valuation of coastal and marine issues; ecological, social, and economic aspects of coastal development; and human and natural dimensions of coastal and marine fisheries. The results of this research are developed and 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 served as a catalyst that promotes discovery, understanding, and resilience for Oregon coastal communities and ecosystems. 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 Pacific Northwest 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 learn more about Oregon Sea Grant and our current activities.

## II. General Information about Proposal Submission

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

Outreach and Engagement Office Hours Sessions (by appointment only):	January 12 – February 10, 2017 (Contact us no later than February 3, 2017)
Preliminary Proposals Due:	Tuesday, February 21, 2017, before 5:00 p.m. PST
Invitations for Full Proposals:	Friday, March 31, 2017
Full Proposals Due:	Friday, May 26, 2017, before 5:00 p.m. PST
Peer Review Period:	May 30, 2017 – August 7, 2017
Reviews to Investigators:	August 14, 2017
Investigator Responses to Reviews Due:	August 21, 2017
<b>Tentative</b> Notice of Funding Decisions:	Monday, October 2, 2017
Successful Projects Begin:	February 1, 2018 or February 1, 2019

Note: This timeline is subject to change; any updates will be posted to our website and disseminated through email.

### 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 (PI) must be deemed eligible by their institution to receive extramural funding. While non-academic researchers may be included among the co-principal investigators (co-PIs), 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/federal agencies, tribes, NGOs, and/or other research or academic institutions). *NOTE: Only one preliminary proposal per lead Principal Investigator may be submitted.* Direct salary support for individuals from state and federal agencies, tribal, and for-profit and foreign organizations is not allowed; however, non-federal 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 (See below<sup>1</sup>). Oregon Sea Grant encourages submissions from researchers new to Sea Grant and those from diverse backgrounds.

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<sup>1</sup> Note: Guidelines for additional support for partially-core funding Oregon Sea Grant employees involved with project outreach and engagement activities are outlined in our internal policy and requires prior approval by the supervisor and Director.

### C. Project and 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 pre-proposals must state how they support Oregon Sea Grant's thematic areas and associated research goals.

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 thematic areas, and the potential for societal impact. Funded projects will meet both of these criteria. Each proposal must also include an outreach or engagement component designed to inform and / or engage potential stakeholders and information users with the research.

The four thematic areas highlighted in our 2018-22 Strategic Plan are:

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

- Adaptation to acute or chronic coastal hazards
- Cultural beliefs, learning, and valuation of coastal and marine issues
- Ecological, social, and economic aspects of coastal development
- Human and natural dimensions of coastal and marine fisheries

For this competition, Oregon Sea Grant specifically requests proposals that address one or more research objectives aligned with these four thematic areas.

#### Research Objectives for 2018-20 Competitive Projects:

- Understand the impacts of **coastal hazards**, their relevance to coastal communities, and evaluate possible solutions or responses, including tools for adaptation.
  - **Coastal hazards** may include, but are not limited to, acute hazards, such as earthquake or tsunami, or chronic hazards, such as ocean acidification or hypoxia.
- Determine how individuals and communities value and make decisions about **market and non-market aspects** of coastal and ocean resources.
  - **Market aspects** include the economic value stemming from activities such as property development, industry, or tourism revenue. Examples of **non-market aspects** are heritage, spiritual, and cultural values, clean air and water, and healthy fish and wildlife populations.
- Assess the social, cultural, and / or political dimensions of residents and visitors toward **critical coastal issues**, understanding associated gaps, risks, needs, and goals.
  - **Critical coastal issues** may include, but are not limited to, coastal hazards, coastal development, fisheries and aquaculture, etc.
- Evaluate the ecological and / or socioeconomic resilience and sustainability of **Pacific Northwest coastal and marine species or habitats** that are commercially, recreationally, or culturally important.
  - Preference given to projects focused on emerging fisheries, industries or techniques.

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

### **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 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. Oregon Sea Grant encourages researchers involved in such projects to contact the relevant Sea Grant programs as soon as possible to discuss options.

### **Outreach and Engagement**

In addition to supporting research projects that are scientifically excellent and societally relevant, Oregon Sea Grant is committed to projects that inform and engage relevant communities. The results of this research are developed and 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 informed by and shared with those who need it most and in ways that are timely, relevant and meaningful.

To assist potential researchers in developing strong outreach and engagement for their projects, Oregon Sea Grant offers outreach and engagement guidelines (available [here](#)), and will offer a series of office hours to address the question: how is the proposed research useable and accessible? Prior to preproposal submission, potential PIs have the opportunity to meet with 3-4 members of Sea Grant's integrated outreach and engagement program. During these short sessions, the team will consider a researcher's proposed project and offer best practices for designing a strong outreach and engagement plan using Oregon Sea Grant or other resources. Anticipated

outcomes from these meetings include a framework for developing, implementing, and assessing the outreach and engagement strategy, along with guidelines for working with potential partners to assist in developing outreach and engagement strategies as needed. These meetings are by appointment only and will be held January 12, 20, 26, and February 3 and 9, 2017. Meeting with Sea Grant Outreach and Engagement personnel is suggested but not required and does not guarantee project support. The lead PI is responsible for all components of the proposal and funded project. To schedule a session, send an email to: [seagrant.admin@oregonstate.edu](mailto:seagrant.admin@oregonstate.edu) no later than February 3, 2017 with “O&E Session Request” in the subject line.

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

The expected duration of the grant is 12–24 months. Proposed work should begin February 1, 2018 or February 1, 2019, and be completed by January 31, 2020. 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. Matching funds may come from a variety of state, local, international, or private funds or in-kind services. Research projects that do not provide at least 50% non-federal match may not qualify for funding. Researchers should take cost share into consideration as they develop budgets and projects, and contact Oregon Sea Grant in advance to discuss any anticipated shortfall in matching funds.

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

Environmental 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 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 (Principal Investigators are expected to execute the plan).

To meet this requirement, the Principal Investigator must comply with the process described in eSeaGrant during submission of the full proposal, and explain how the data and metadata will be provided. Funds may be budgeted in the project proposal for this task. For detailed guidance, please refer to NOAA’s Data Sharing Directive for Grants, Cooperative Agreements, and Contracts at the following permanent URL (Appendix B outlines requirements):

[https://nosc.noaa.gov/EDMC/documents/Data\\_Sharing\\_Directive\\_v3.0.pdf](https://nosc.noaa.gov/EDMC/documents/Data_Sharing_Directive_v3.0.pdf).

### III. Proposal Development and Evaluation Process

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

#### **PREPROPOSALS**

1. Oregon Sea Grant releases the 2018-2020 Biennial Research Request for Preproposals and makes times available for researchers to meet with outreach and engagement experts. To schedule a session, send an email to: [seagrant.admin@oregonstate.edu](mailto:seagrant.admin@oregonstate.edu) no later than February 3, 2017 with “O&E Session Request” in the subject line.
2. The pre-proposal is submitted to Oregon Sea Grant via [eSeaGrant](#) **before 5:00 p.m. PST on Tuesday, February 21, 2017**. No full proposals will be accepted without a pre-proposal. No incomplete or late submissions will be accepted.
3. Pre-proposals will be reviewed by peer reviewers (out-of-state U.S. and international experts in the proposed area of research) to look for fatal technical flaws, screen for originality, and pinpoint innovative ideas; the Oregon Sea Grant Advisory Council assesses societal relevance; and Oregon Sea Grant leadership determines if preproposals address Thematic Area objectives in a balanced way. All reviewers address the question: is the proposed research needed?
4. Invitations for full proposals will be sent no later than Friday, March 31, 2017. Reviewer comments on the pre-proposal and additional instructions will be available via eSeaGrant.

#### **FULL PROPOSALS**

1. Full proposals are to be submitted through [eSeaGrant](#) to Oregon Sea Grant **before 5:00 p.m. PST, Friday, May 26, 2017**. Full proposals may be submitted by invitation only.
2. Full proposals are rigorously reviewed by at least three out-of-state peer reviewers. Applicants who have not already done so at the pre-proposal stage, or those who wish to suggest additional reviewers, are required to suggest *at least three potential reviewers from outside of Oregon*.
3. PIs will have one week in late August to respond to reviewer comments via eSeaGrant (currently scheduled for August 14 - 21, 2017, but subject to change). Please plan accordingly as these dates will not be shifted to accommodate individual requests.
4. A review panel comprised of out-of-state experienced generalists, the Oregon Sea Grant Advisory Council, a program officer from the National Sea Grant Office, and Oregon Sea Grant program leads will convene to evaluate the proposals, taking into consideration peer reviews and PI responses. The experienced generalists consider external reviews, PI responses, and the overall effectiveness of the proposed project, which includes scientific approach, outreach and engagement integration into the research, and societal relevance. The Advisory Council also weighs in on societal relevance. The Oregon Sea Grant director and program leads assess alignment with Sea Grant goals and priorities.
5. The Oregon Sea Grant Director will consider these evaluations and selects a portfolio of 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.
6. Final decisions for Oregon Sea Grant-funded proposals are approved by the program officer from the National Sea Grant Office.

7. Applicants will be informed of final decisions by early October, 2017. 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. Awarded projects are expected to complete the National Environmental Policy Act (NEPA) Environmental Compliance Questionnaire.

## **IV. Preliminary Proposal Narrative Guidelines**

### **A. Preliminary Proposal Development and Evaluation Process**

For complete consideration for the Oregon Sea Grant 2018–2020 Biennial Competition, you must submit a preliminary proposal (pre-proposal) narrative, a short two-page vitae of all senior personnel (PIs and co-PIs) and their current and pending support, and a budget estimate. Guidance for writing the pre-proposal follows.

We will be using eSeaGrant, a web-based tool for submitting, reviewing, updating, and tracking grant proposals, for this call. To register for the eSeaGrant system, the lead principal investigator must email a request to [eseagrant@oregonstate.edu](mailto:eseagrant@oregonstate.edu) by Friday, February 3, 2017. Instructions are provided only to registered users, and submission of all pre-proposal related materials are due via eSeaGrant before **5:00 p.m. PST on Tuesday, February 21, 2017**. If you cannot submit using the eSeaGrant system, please contact the Oregon Sea Grant program for accommodation.

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.

## B. 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. Pre-proposals and full proposals are rigorously reviewed by groups including peer reviewers from outside of Oregon, a panel of experienced generalists, 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 2018-2021 Oregon Sea Grant [Strategic Plan](#), including links to at least one of the four Thematic Areas and its strategic goals and research objectives as stated in the Request for Proposals.

Proposed Research Summary: Briefly introduce the methodology to enable someone familiar with your field to assess the feasibility and innovation of your proposed work.

Outreach and Engagement: Researchers are strongly encouraged to interact with their target audience as they develop their proposal. Explain how the research will be extended to, and used by, those who can apply it.

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

Considerations in pre-proposal and full 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. **Preproposal Focus:** External generalists screen for fatal technical flaws, originality, and innovative ideas, and provide feedback to principal investigators.
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? **Preproposal Focus:** Using this [rubric](#), the OSG Advisory Council answers the question: is the proposed research needed?
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. **Preproposal Focus:** Based on the outreach and engagement criteria outlined [here](#), Oregon Sea Grant leadership assesses whether planned activities are appropriate for the project, meet audience needs, and answers the question: how is the planned research useable and accessible?

## V. Full Proposal Narrative Guidelines

Additional details on developing and submitting the full proposal will be shared with principal investigators following preproposal decisions.

## VI. 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)
- To schedule an Outreach and Engagement session, send an email to: [seagrant.admin@oregonstate.edu](mailto:seagrant.admin@oregonstate.edu) no later than February 3, 2017 with “O&E Session Request” in the subject line.
- For additional questions on Sea Grant public engagement programs, projects and faculty, contact Outreach and Engagement Program Leader [Dave Hansen](#). (541-737-2737)