New York Sea Grant
INSTRUCTIONS for

Full Proposal Submissions
Biennial Research Call for 2024-2025

Full Proposal Submissions are due through NYSG's Website

by 4:30 pm Monday, May 8, 2023

A full proposal submission requires **all** of the following in the below checklist, submitted in a single pdf file (see specific instructions for each starting on page 5):

_____ Subrecipient Form with all Institutional Signatures (including subcontracting institutions; not required for Stony Brook University PIs)

_____ University Contact Sheet (not required for Stony Brook University PIs)

_____ Project Summary Form 90-2

_____ Proposal Text Components A-M:

❏ A. Project Narrative (Section **not to exceed 15 pages**, including any figures, tables, etc.)

❏ 1. Project Title
❏ 2. Principal and Associate Investigators (PIs and AIs)
❏ 3. Introduction/Background/Justification
❏ 4. General Work Plan, Research Design, Methods, and Milestones
❏ 5. Actionable Products, Outcomes, and Anticipated Societal Benefits
❏ 6. Coordination

❏ B. Literature Cited (start on a new page)

❏ C. Budget 90-4 Forms for the lead institution and each subcontract (use updated version)

❏ D. Budget Justification (narrative)

❏ E. Separate Scope of Work description and budget justification for each subcontracting institution

❏ F. Project Timeline (start on a new page)

❏ G. Extension and Outreach Summary and Acknowledgement (start on a new page, not to exceed 1 page)

❏ H. Data Management/Sharing Plan (start on a new page, not to exceed 2 pages)

❏ I. Abbreviated Environmental Compliance Questionnaire (NEPA form) acknowledgment

❏ J. List of Permits, Permissions, and IRB Approval if applicable

❏ K. Curriculum Vitae for all Principal and Associate Investigators (PIs and AIs) only, not to exceed 2 pages each

❏ L. List of Other Research Support for all PIs and AIs

❏ M. List of recent NYSG Publications for all PIs and AIs if applicable

_____ Letters of collaboration, support, and cost-share commitment (as appropriate). Do not wait until the last minute to secure these!

No appendices or other attachments will be accepted.

Blank versions of the forms for your proposal, are available in a folder shared with you at at: https://drive.google.com/drive/folders/1I_oPEes5CqnXH8orZQdc2jYv0_Go4NuV?usp=sharing

I. DETAILS ABOUT YOUR SUBMISSION

- These Instructions should be carefully read and followed. Text and pages beyond specified page limits will be removed. Missing components or sub-sections, or other non-compliance with the format or content requirements, will result in disqualification.

- The proposal should address the Goals and Topics mentioned in the pre-proposal and included in the *Biennial Research Call for 2024-2025*. Please **be sure to review the *Call* again**. It is still on the web at: https://www.seagrant.sunysb.edu/funding/PDFs/NYSGCall24-25-preprop.pdf. Contact Lane Smith (lane.smith@stonybrook.edu or 631-632-9780) if you need assistance.

- As stated in the *Call,* the budget estimate (total of direct + indirect costs) provided in the pre-proposal submissions was expected to be realistic. A substantial budget change (greater than 10%) in the full proposal compared to the pre-proposal will be viewed negatively and may result in either the proposal not being reviewed or budget cuts without changes in the scope of work. Remember that the absolute budget cap is $120k per year for two years.

- Regarding project personnel, note that students and NYSG staff cannot have PI, co-PI, or AI status. **NOTE:** The list of investigators provided on your pre-proposal was to be complete and may not be changed unless approved by the director of NYSG **prior** to full proposal submission.

- Project PIs are encouraged to include **Sea Grant Scholars as part of their projects**. The Sea Grant Scholar Fellowship awards are a mechanism through which NYSG stimulates study and provides support, in the form of a stipend, to graduate students who carry out research relevant to projects funded through its program. In this case, Sea Grant Scholars are fellows rather than employees, which saves some costs on the project's budget. No fringe or IDC is included in the Fellowship.

  Tuition is not an allowable cost in the budget. Please request a tuition waiver from your graduate school to be used as match.

- Sea Grant Scholar Fellowship stipends are pre-determined by the principal investigator(s) of the project, and are based on the prevailing rates of the student's department at the time the project's budget was submitted to NYSG for funding consideration. ***When the project award is made, the investigator's account will not include funds proposed for Sea Grant Scholar Fellowship stipends. Those funds are "withheld" and Sea Grant Scholar payroll distribution is managed directly by NYSG.*** Any funds for Scholars are specified on a separate line on the 90-4 budget form and the project's Award Acceptance Form. Please refer to the **Policies and Guidelines for Scholars** document for full details. For questions, please contact New York Sea Grant's fiscal officer - Ms. JeanAnn Johnston at 631-632-6908 or jean.johnston@stonybrook.edu.

- **Complete submissions are due by 4:30 PM on Monday, May 8, 2023.** Electronic submission

through the established website is **required**. Go to http://www.NYSGproposal.org for instructions and the portal. The portal closes after the deadline and submissions are not possible. Early submission is encouraged. To be fair to all investigators, submissions that are incomplete will not be reviewed. Please be sure to watch the website's clock (not your computer's clock)! Even if you are on the website before the deadline, if your file is not submitted by 4:30 PM, it will be too late to be accepted. The official time stamp on the submission is provided by the website's server. **Fax, email, hard copy, and non-pdf file format submissions will not be accepted**. *It is highly recommended you avoid submitting your full proposal at the last minute to allow time to deal with any unforeseen technical difficulties.* NYSG is not responsible for late submissions due to technical problems. We recommend that you use current versions of Firefox, Edge, or Google Chrome and that you access the portal from your institution (i.e., work office rather than a remote location) if possible. If you are working from home, you are responsible for ensuring you have an adequate stable internet connection to allow for your submission. Early submission will provide a buffer to deal with any unexpected connectivity issues.

- **Please submit your full proposal package as a single PDF file**, signed title pages and letters of recommendation can be scanned and added to your proposal pdf file. *Please keep the original Word and Excel files from which you made your PDF* **file until after you have been notified if you've been selected for funding or not. If selected, these files will need to be submitted.**

- All proposals must adhere to the following formatting guidelines. Maintain 1" margins at the top, bottom, and left and right sides of <u>all</u> pages, single-spaced text, double spacing between paragraphs, and 12-point Times New Roman typeface. We recognized that Word files converted to PDF may result in a slightly smaller font, but this is offset by a slightly larger margin.

- Be sure to follow the Checklist on page 1 of these Instructions, and the Specific Instructions for Proposal Components beginning on page 5. If you cannot access the websites listed, please contact New York Sea Grant.

- Note that proposals selected for funding will have time-sensitive tasks that must be completed shortly after notification of selection. This includes potential modifications to the work plan to address issues that were raised during the review process, finalized budgets, the NEPA form, and award paperwork.

II. REVIEW PROCESS AND CRITERIA FOR FULL PROPOSALS

Full proposals will be subject to external peer review and a Technical Review Panel (TRP). Each full proposal will receive written peer reviews from three non-conflicted, external peer reviewers. Proposal PIs will be given masked copies of the written peer reviews and given the opportunity to write responses to the reviews. The TRP will consist of external academic peers. Peer reviewers and TRP members will be instructed to evaluate and score proposals based on the following criteria:

1) The fit and responsiveness to the NYSG goals and research topics listed in Section II of the Biennial Research Call for 2024-2025 – how well the proposed work plan addresses the Goal and research topic of the Call (0 to +25);

2) the scientific or technical merit of the project – the degree to which the research activity uses appropriate hypotheses and/or methods; the degree to which it will advance the state of the science or discipline through development, use, application, or extension of methods (0 to +25);

3) the expected actionable products, outcomes, and anticipated societal benefits of the project results – significance and importance of the products (models, methods, and scientific information) and impacts (change in behavior/policies, economic and/ or social benefits, and environmental benefits) that are expected to result from this project and can be used by NYSG constituencies; accessibility of

the products and documentable impacts (0 to +25);

4) the appropriateness of the budget request and match – the degree to which the requested funding and matching costs levels are appropriate and reflect reasonable costs for the proposed research (0 to +15);

5) the professional qualifications of investigators – the degree to which investigators are qualified by education, training, and/or experience to execute the proposed activity; record of achievement with previous funding (0 to +10).

Peer reviewers and TRP members are asked to provide comments under each criterion and provide an overall summary score as follows:

A = 4 = Excellent: Probably will fall among the top 10% of proposals in the area of research; highest priority for support.
B = 3 = Very Good: Probably will fall among the top third of proposals in the area of research; should be supported.
C = 2 = Good: Probably will fall among the middle third of proposals in the area of research; worthy of support.
D = 1= Fair: Probably will fall among the lowest third of proposals in the area of research.
F = 0 = Poor: The proposal has serious deficiencies; should not be supported.

Final proposal scores and ranking will be based on peer reviews and TRP scoring based on peer reviews, PI responses, and the Panel discussion. Final funding decisions are made by the NYSG senior leadership team and incorporate all peer and panel reviews and rankings, relevancy input from the New York Sea Grant Program Advisory Council, as well as the availability of funding, prior award performance of applicants, and balance across the portfolio such as institutions, geography, focus areas, and applicant diversity, which may result in out of rank order proposals selected for funding.

III. START DATE AND REPORTING

It is our intention to commence funding successful proposals on February 1, 2024. Projects will be subject to annual (Progress Report) and post-project (Completion Report) evaluation. Year 2 funding is contingent upon NYSG's federal award in 2025 and demonstration of satisfactory progress in Year 1.

IV. SPECIFIC INSTRUCTIONS FOR PROPOSAL COMPONENTS (use as a checklist)

____**Subrecipient Form with all Institutional Signatures:** One for each subcontract. A blank form with instructions is sent with the PI notification package.

____**University Contact Sheet:** For each subcontract.

____**Project Summary Form 90-2:** See the example and use downloadable blank versions of this from NYSG's web page http://www.seagrant.sunysb.edu/articles/t/grants-policies-downloadable-forms-for-proposal-submission. Blank versions are also sent with the PI notification package. The Project Summary Form should very briefly convey all essential elements of the proposed activities. It *may not exceed 2 pages in length*.

____**Proposal Text Components (A-M)**

____ **A. Project Narrative:** Organize your materials for Sections 1-6 as presented below, and follow the examples and guidelines provided. This component (A, with its 6 sections) *may not exceed 15 pages*, including any figures, tables, etc. Pages beyond this limit will be removed. Applicants are not required to use the entire 15-page maximum. Depending on the complexity of the proposed activities, a shorter description may suffice to satisfactorily describe each of the project sections.

____ 1. PROJECT TITLE:
The title should be brief, specific, and descriptive of the activity, and should minimize the mention of geographic names.

____ 2. PRINCIPAL AND ASSOCIATE INVESTIGATORS:
List principal, co-principal, and associate investigators with department and university/institution affiliations. Sea Grant staff, Scholars, and other students cannot have PI, co-PI, or AI status, do not include them here. For post-docs check with your institution's policies first.

____ 3. INTRODUCTION / BACKGROUND / JUSTIFICATION:
The text in this section should explain why/how the proposed research is important. You should carefully review other significant, related work and demonstrate how your proposed research will build on this base. Finally, be sure to clearly describe how this project will significantly contribute to achieving a Goal and Research Topic specified in the *Call*. As you write this, be sure to re-review the wording of the Goal and Research Topic you are addressing, in its entirety, so you can make the strongest case possible in your justification.

____ 4. GENERAL WORK PLAN, RESEARCH DESIGN, METHODS, AND MILESTONES:
Clearly and succinctly state your project's hypotheses or goals. Then list the objectives of your project (which should be the same as listed in the 90-2 form). Describe the overall work plan and outline in detail the research design, methods, techniques, and analytical/statistical methods (as appropriate) that will be used to accomplish the stated objectives. Spell out what you expect to accomplish and in what time frame, identifying specific milestones. Be sure to include:

- the steps and techniques that will be used;

- the experimental design;
- data sources to be used and how they will be accessed; and
- any facility and equipment requirements and how they will be met.

You may reference the Coordination section (below) and the project timeline. Reviewers should be able to assess the appropriateness of the proposed approach for achieving the stated project objectives.

_____ 5. ACTIONABLE PRODUCTS, OUTCOMES, AND ANTICIPATED SOCIETAL BENEFIT(S):

One of the National Sea Grant Office's main emphases is that Sea Grant activities, including research, must be able to show documentable accomplishments and impacts. It is very important that the full proposal describes how the project results would be used and by whom. How do the PIs plan to convey the results and what demonstrable impacts would come from this? In other words, this section should detail the significance and importance of the products (syntheses, models, methods, and scientific information) and impacts (change in behavior/policies, economic and/ or social benefits, and environmental benefits) that are expected to result from the proposed project. You should also describe the accessibility of the products (e.g., who will be able to use them, how will they have access, etc.) and how the impacts can be documented (e.g., how will one be able to measure the impacts to accrue from your results). Your statements should be specific and, optimally, should be substantiated by references or attached letters of support. Such letters, indicating support for the proposed project, may be included in your proposal submission (see Checklist page 1) and are most helpful to the proposal if they are from agencies, organizations, stakeholders, and/or collaborators that indicate how they would use the results, and for what purpose they would use them toward achieving the NYSG Goal and Research Topic being addressed. It can also be very helpful to put the issue being addressed and the potential results into an economic context, which should also help establish the project's potential impact.

_____ 6. COORDINATION:

List the roles and responsibilities of personnel, including Sea Grant Scholars or other students, as related to the project. Letters that verify the collaboration of other investigators or organizations to be involved with the project (if any) must be included in your proposal submission (see Checklist page 1). Also, please note that close coordination of your research with the agency, industry, or other user groups that will be its prime beneficiary is a good way to enhance the success of your project. This section should clearly show that you have already investigated these connections and contacts. NYSG's Extension staff may be able to offer helpful suggestions regarding such linkages (see [NY Sea Grant | NYSG: Staff](#), for a staff list). In fact, we recommend that you contact them about this because they are likely to be involved with the extension of your results, as well. If your work will be carried out in conjunction with a business, industry, government organization, or citizen's group, list the name and address of the organization and the main contact person. If the group is providing financial support, data, materials, manpower, or guidance, be sure to state this and provide correspondence that verifies the commitment. Letters verifying the cost-share commitment of other organizations (if any) must be included in your proposal submission (see Checklist page 1). In this section, you should also describe any linkages that the project would have with other programs or projects: international, federal, state, or local. Describe how this proposal is complementary, not duplicative.

_____ **B. Literature Cited:** Start on a new page. Include the complete citation for each publication referenced within the proposal. If none, state that.

C. Budget Forms 90-4: Be sure to include a budget form (use the new version) for the lead institution and each subcontract. Note: a subcontract to a SUNY institution has its own guidelines. See http://www.seagrant.sunysb.edu/articles/t/grants-policies-downloadable- forms-for-proposal-submission for an example and downloadable blank versions. *Use whole numbers only for your budget items to prevent rounding errors during the processing of awards*. You may contact NYSG's fiscal officer JeanAnn Johnston, (Jean.Johnston@stonybrook.edu) with any questions. NYSG also invites you to share an unofficial version of your budget form and budget justification with Ms. Johnston as soon as you have it drafted, but at least two weeks prior to the submission deadline. She will try to help you more accurately define and maximize the allocation of the requested funds and discuss with you any needed changes *prior* to the official review of your full proposal.

Please also keep a copy of the 90-4 budget forms as separate Excel files until you have received notification whether your proposal was selected for funding or not. These will be used later in the process for funded proposals. Awards are administered as a Cost Reimbursable Award (CRA) and successful applicants must submit invoices to NYSG for reimbursement.

D. Budget Justification: Start on a new page. This must be a written narrative. The dollar figure and justification for each budget category will be closely examined, so PIs must be very careful to explain **all** anticipated expenses.

The same amount of detailed justification must be given for matching funds as for those requested from NYSG. Matching funds justification should be its own separate narrative (start on a new page).

Please also keep a copy of the budget justification and the matching funds justification narratives as separate Word files until you have received notification whether your proposal was selected for funding or not. These will be used later in the process for funded proposals.

To assist with your submission, NYSG has prepared a "fiscal policies" website, which contains guidance information and should answer many questions you may have as you prepare your budget. **The website is http://www.seagrant.sunysb.edu/articles/t/grants-policies-forms-policies and includes guidelines regarding allowable budgetary items**. See http://www.seagrant.sunysb.edu/articles/t/grants-policies-downloadable-forms-for-proposal-submission for an example budget justification.

E. Subcontract Scope of Work and Budget Justification: Include for each subcontracting institution, if any. For example, if a co-PI is from a different institution than the lead PI, the co-PI's institution is a subcontract.

F. Project Timeline: Start on a new page. See the example and use downloadable blank versions of the timeline form on NYSG's web page http://www.seagrant.sunysb.edu/articles/t/grants-policies- downloadable-forms-for-proposal-submission.

_____ **G. Extension and Outreach Summary and Acknowledgement:** *(not to exceed 1 page)*
Start on a new page. Provide a brief summary describing the proposed extension and outreach activities for this project and check the acknowledgment below. The summary should mention the audiences (e.g., agencies, businesses, communities, students, the public, etc.) to be reached and the methods used (workshops, factsheets, social media, etc.). Consultation with NYSG staff will be helpful for developing this section.

Extension and Outreach Plan: Proposal authors are reminded that any research project funded under this Call must develop with NYSG staff an extension and outreach plan within two months of the start of the project. The outreach plan is to be implemented throughout the duration of the project. **Please acknowledge this requirement in your proposal by writing the following statement of acknowledgment at the end of your Extension and Outreach Summary.**

I (we) acknowledge the requirement that any research project funded under this Call must develop with NYSG staff an extension and outreach plan within two months of the start of the project.

_____ **H. Data Management/Sharing Plan:** *(not to exceed 2 pages)*
Start on a new page. NOAA regulations require that data and information collected and/or created under NOAA (including Sea Grant) grants 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 and socio-economic data generated by a grant project must be made available after a reasonable period of exclusive use, and (2) the grant proposal must describe the plan to make the data available.

To comply with this requirement, your full proposal must include a data management/ sharing plan that describes how the project's data and metadata will be made available to others. Deposition of data in standard data archives (e.g., by discipline) or in available university or NOAA archives is encouraged. This requirement for data archiving is *in addition* to the expected publication of research results in peer-reviewed journals. The proposed plan will be reviewed for compliance with NOAA requirements. If funds are needed for this task, they were to be included in your pre-proposal budget estimate, and (if any) they must be included in the full proposal budget form and text justification.

Per NOAA, "environmental data" are recorded and derived observations and measurements of the physical, chemical, biological, geological, and geophysical properties and conditions of the oceans, atmosphere, space environment, sun, and solid earth, as well as correlative data, such as socio-economic data, related documentation, and metadata. Media, including voice recordings and photographs, may be included.

Per NOAA, "independently understandable" means that the data must be accompanied with documentation, metadata and if needed, tools to read the data that allow the user to interpret the data properly. If there are concerns by users with data access or understandability, they can be reported to NOAA, who will do an independent check.

There are several acceptable ways to share data, but NYSG strongly prefers that you use either:
    a) Data Archive – a place where data are acquired, manipulated, documented, and

distributed. NOAA facilities that archive data and make the data openly available should be considered (e.g., https://www.ncei.noaa.gov/archive). Disciplinary databases and university archives are also options.
b) Data Enclave – a controlled, secure environment in which eligible researchers can perform analyses using data resources.

A typical plan should include a description of the types of environmental data and information created during the course of the project; the tentative date by which data will be shared; the standards to be used for data/metadata format and content; policies addressing data stewardship and preservation; procedures for providing access, sharing, and security (including location); and prior experience in publishing such data.

A few other points:
- If the project will not generate environmental data, it is sufficient **(and <u>necessary</u>)** to state that in a sentence.
- New York Sea Grant does not have the capacity to serve as a repository, but if you need information about potential archives or enclaves, contact Lane Smith, NYSG Research Program Coordinator at <u>lane.smith@stonybrook.edu</u> or 631-632-9780.
- This section of your proposal will be included in the materials sent to peer reviewers, but will not be evaluated by them. NYSG will assess whether the plan seems satisfactory, but NOAA will have the final word on whether the proposed plan meets its minimum requirements.
- It will be NYSG's responsibility to ensure and enforce that you follow the proposed and accepted plan.

_____ **I. Abbreviated Environmental Compliance Questionnaire (NEPA):** Indicate your acknowledgment that an Abbreviated Environmental Compliance Questionnaire (NEPA form) and copies of any required permits, IRB approvals, and/or permissions will be required for proposals recommended for funding and that data collection cannot begin before these items are reviewed and approved by the National Sea Grant Office and NOAA. Yes_____

_____ **J. Permits, Permission, and IRB Approval:** Sea Grant-funded research projects are subject to local, state, and/or federal environmental permitting requirements associated with the work being proposed. Examples of such projects include but are not limited to: aquaculture projects; projects that will conduct any sampling in sensitive areas, including state or national parks, or private property and/or deploy equipment long-term; projects on or in the area of threatened or endangered species, or any vertebrate species and projects involving surveys and other human subject research**.**

Per the requirements in the Abbreviated Environmental Questionnaire, potential PIs must include with their full proposal a list of all state and federal permits required to complete the project, including whether these permits have already been acquired. This list should also include any required institutional IRB approvals for projects that involve surveys and/ or other human subject research. Also, list any property access permissions or agreements needed to conduct work for the project. If a partner institution will be responsible for acquiring permits, this should be stated in the application. The responsibility for acquiring permits lies with the funded PI, and failure to secure permits may result in delayed receipt of funds or changes to the scope of work proposed.

Upon award notification, in order to expedite the grant contract process and reduce potential for delays in receipt of funds, PIs should work to secure and finalize all required permits, permissions, and IRB approvals in as timely fashion as possible, and ideally no later than September 15th, 2023. Please contact Lane Smith at 631-632-9780 with any questions.

Funded PIs are required to share with the Sea Grant program proof that all required permits, permissions, and IRB approvals have been granted prior to expending funds on the work covered by the permit. Funds may be expended on portions of the project that do not require permits, such as student support, statistical work, and project planning. This is typically accomplished by providing copies of the permits, permissions, and IRB approvals. The absence of required permits, permissions, and IRB approvals will result in the NSGO placing restrictions on the award until those are provided, and host institutions may have additional restrictions on such funds, per their own policies. If no permits, permissions, or IRB approvals are needed to conduct the project, state that here in a sentence.

_____ **K. Curriculum Vitae:** Include for all Principal and Associate Investigators, *not to exceed 2 pages each*. Do not include curriculum vitae for Sea Grant Scholars or other students.

_____ **L. List of Current and Pending Support:** For each principal, co-principal, and associate investigator, list all currently active support and all applications and proposals pending review or funding. Be sure to include the source of support, months committed to the project, dates of duration, annual direct costs, project title, and any overlap with the present proposal. If none, state that.

_____ **M. List of NYSG Publications:** For each principal, co-principal, and associate investigator, list each NYSG-funded project with which he/she has been affiliated since 2020 by project title and number. Provide complete citations of <u>all</u> publications that have resulted from each project. Be aware that productivity with previous funding is part of the full proposal review. If none, state that.

_____**Letters of Collaboration, Support, and Cost-Share Commitment:** If appropriate, include correspondence regarding expected impacts and benefits, collaborative efforts and/or others' support for the project, and/or letters certifying match commitment. Scan hard copies of such materials or have them sent to you by email so that you can include them **as part of your electronic submission**. Faxes, emails, and hard copies sent separately to NYSG will not be accepted.

V. FULL PROPOSAL TIMELINE

May 8, 4:30 pm	Deadline for full proposals including the Subrecipient Form, University Officials Contact Form (via NYSG submission website)
June 21	Full proposal PI's receive masked peer reviews for response
July 5	Deadline for PI responses to reviews
July 17	Technical Review Panel Meets*
July 20	NYSG notifies all investigators of funding decisions*
August 21	Deadline for revisions, final budgets (90-4 excel), NEPA questionnaire of successful proposals
Sep 15, 2022	Permits, permissions, and IRB approvals for funded proposals due
January 1, 2024	Signed Award Acceptance Form, and Permits/Permissions due

	back from PIs
February 1	Anticipated funding begins for new projects
By April 1	Outreach plan is due
February 1, 2025	Anticipated funding continues for 2-year projects with satisfactory progress

*Dates are approximate and tentative depending upon scheduling with panel members and NYSG's Program Officer at the National Sea Grant Office.