



**New York Sea Grant
INSTRUCTIONS
Full Proposal Submissions
Biennial Research Call for 2022-2023**

Full Proposal Submissions are due through NYSG's Website
by 4:30 pm Monday June 14, 2021

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):

- _____ Title Page with all Institutional Signatures (including subcontracting institutions)
- _____ Proposal Text Components A-M:
 - A. Project Summary Form 90-2
 - B. Project Narrative (Section B **not to exceed 12 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 and Milestones
 - 5. Actionable Products, Outcomes and Anticipated Societal Benefits
 - 6. Coordination
 - C. Literature Cited (start on a new page)
 - 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) acknowledgement
 - J. List of Permits, Permission and IRB Approval
 - K. 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 NYSG Publications for all PIs and AIs
- _____ Budget Forms 90-4 for the lead institution and each subcontract
- _____ 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, examples and help files for the Title Page, Project Summary 90-2 form, Project Timeline, Budget Justification, and 90-4 Budget forms are available at:

<http://www.seagrant.sunysb.edu/articles/t/grants-policies-downloadable-forms-for-proposal-submission>

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 format or content requirements, may result in disqualification.
- The proposal should address the Goals and Topics mentioned in the pre-proposal and included in the *Biennial Research Call for 2022-2023*. Please **be sure to review the Call again**. It is still on the web at: <https://seagrant.sunysb.edu/funding/pdfs/omnibus2223/NYSGCall22-23.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 increase (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 to the project's budget.
- 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 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 June 14, 2021.** Electronic submission through the established website is **required**. Go to <http://www.NYSGproposal.org> for instructions and the portal. To be fair to all investigators, submissions posted after the deadline and those 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. Addition or substitution of any materials after the deadline is not allowed. **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 remote location) if possible. If you are working from home due to COVID-19 restrictions at your place of work, you are responsible for making sure you have an adequate stable internet connection that will 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 all pages, single spaced text, with 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 web sites 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, 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 2022-2023* – how well the proposed work plan addresses the Goal and research topic of the *Call*;
- 2) the significance of the specific problem or opportunity – the degree to which the proposed research addresses an important issue, problem, or opportunity in development, use, or management of marine or coastal resources that will contribute significantly to achieving a Goal and Research Topic listed in the *Biennial Research Call for 2022-2023*;

- 3) the scientific or technical merit of the project – the degree to which the research activity uses appropriate hypotheses and methods; the degree to which it will advance the state of the science or discipline through development, use, or extension of state- of-the-art methods;
- 4) 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 benefits, and environmental benefits) that are expected to result from this project; accessibility of the products and documentable impacts;
- 5) 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;
- 6) 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.

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

A = 4 = Excellent: Probably will fall among 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: 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 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 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 of successful proposals on February 1, 2022. 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 2023 and demonstration of satisfactory progress in Year 1.

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

___ **Title Page:** See example and downloadable blank versions of this on NYSG's web page <http://www.seagrant.sunysb.edu/articles/t/grants-policies-downloadable-forms-for-proposal-submission>. Be sure to include pages for subcontracting institutions (follow examples). Obtain all required signatures and scan all title pages as one PDF document in order to submit electronically.

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

___ **A. Project Summary Form 90-2:** See 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>. The Project Summary Form should very briefly convey all essential elements of the proposed activities. *It may not exceed 1-2 pages in length.*

___ **B. Project Narrative:** Organize your materials for Sections 1-6 as presented below, and follow the examples and guidelines provided. This component (B, with its 6 sections) *may not exceed 12 pages*, including any figures, tables, etc. Pages beyond this limit will be removed.

___ 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, or Scholars and other students cannot be PIs or AIs. Do not list them here.

___ 3. INTRODUCTION / BACKGROUND / JUSTIFICATION:

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 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 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): *This section is of utmost importance to National and New York Sea Grant.*

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 describe 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 group 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 <http://www.seagrantsunysb.edu/articles/t/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.

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

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 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 acknowledgement below. The summary should mention audiences (e.g. agencies, businesses, communities, students, the public, etc.) to be reached and 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 acknowledgement 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. 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 necessary**) 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 lane.smith@stonybrook.edu 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 their 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: Indicate your acknowledgement 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.

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 permitting, such as student support, statistical work, and project planning. This is typically accomplished by providing copies of the permits, permissions, and IRB approvals. 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. Vitae:** Include only for all Principal and Associate Investigators, *not to exceed 2 pages each*. Do not include vitae for Sea Grant Scholars or other students.

____ **L. List of Other Research 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 source of support, months committed to the project, dates of duration, annual direct costs, project title, 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 2015 by project title and number. Provide complete citations of all publications that have resulted from each project (including those in press or submitted). Be aware that productivity with previous funding is part of the full proposal review. If none, state that.

____ **Budget Forms 90-4:** Be sure to include a budget form for the lead institution and each subcontract. Note: a subcontract to a SUNY institution has its own guidelines. See <http://www.seagrantsunysb.edu/articles/t/grants-policies-downloadable-forms-for-proposal-submission> for an example and downloadable blank versions. 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.

_____ 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

June 14, 4:30 pm	Deadline for full proposals with all authorized signatures (via NYSG submission web site)
July 20-22	Full proposal PI's receive masked peer reviews for response
August 6	Deadline for PI responses to reviews
August 16	Technical Review Panel Meets
August 20-21	NYSG notifies all investigators of funding decisions
September 20	Deadline for revisions, final budgets, NEPA questionnaire of successful proposals
February 1, 2022	Anticipated funding begins for new projects
By April 1, 2022	Extension/Outreach plan due
February 1, 2023	Anticipated funding continues for 2-year projects with satisfactory progress