Woods Hole Sea Grant Program
Guidelines for Preparing Full Proposals 2017

Schedule for Proposal Preparation and Review

Full proposals due: **June 2, 2017, 4:30 p.m.**

- Non-WHOI PIs: All of the required files should be emailed as a single PDF file to seagrant@whoi.edu no later than 4:30 pm on June 2, 2017.
- WHOI PIs: All application materials should be uploaded, approved, and routed to GCS before the deadline in order for the proposals to be submitted to seagrant@whoi.edu by the 4:30 p.m. deadline on June 2, 2017.

Mail reviews due to Woods Hole Sea Grant via email by 4:30 p.m. on **July 24, 2017**.

P.I. rebuttals are due to Woods Hole Sea Grant via email by **August 16, 2017, 4:30 p.m**.

Notification of panel review selection for inclusion in 2018-2020 Omnibus: **September 29, 2017.**

Submission of omnibus to National Sea Grant College Program: **October 30, 2017.**

Funding begins: February 1, 2018

If you have questions about any facet of proposal preparation, do not hesitate to ask for assistance. Content, format, or schedule questions should be directed to Matt Charette (508-289-3205) or Judy McDowell (508-289-2557) or emailed to seagrant@whoi.edu).

List of Required Proposal Components

Funding Period February 1, 2018 — January 31, 2020

Font is Times New Roman, 11 point font, single spaced, 1 inch margins

€ Institutional approval: WHOI PIs only: Proposal submission must be approved by Dept. Chair, Dept. Admin., and PI in the WHOI Grants Portal *(NOTE: WHOI PIs and Department Administrators should refer to the last page of this handout for additional guidance in preparing and submitting the required forms with budgets generated by the WHOI Grants system.)*

€ Institutional approval: Non-WHOI PIs: Proposal submission must be signed off by University or appropriate administrative unit.

€ Sea Grant Project Summary (90-2)
- 90-2 for Year 1
- 90-2 for Year 2
- 90-2 Cumulative Years

€ Sea Grant Budget (90-4) (also required for subcontract budgets included in proposal)
- 90-4 for Year 1
- 90-4 for Year 2
- 90-4 Cumulative Years

- € Budget Justification (also required for subcontract budgets included in proposal). Budget justification must list costs for each year separately.

- € Cost Share documentation with approved signatures must be included in the proposal.

- € Proposal Text, Milestone Chart/Work Plan

- € Other Required Documents:

  - References
  - Current and Pending per PI
  - C.V., short version (please limit to one page ONLY per P.I.)

- € Data Management Plan

- € List of Suggested Reviewers (emailed to seagrant@whoi.edu as a separate PDF by May 22, 2017).

Explanation of Proposal Components

For Sea Grant forms: http://seagrant.noaa.gov/FundingFellowships/SeaGrantFormsandTemplates.aspx

Sea Grant Project Summary (90-2)

The purpose of this form is to present a concise description of the funded activity, from initiation to completion, in a form useful to a variety of readers. This is an extremely important form as it may be the only part of a proposal that some people will see, and their judgments of the activity may hinge entirely on it. Moreover, this information is entered into a database at the National Sea Grant College Program (NSGCP) and the information may be reproduced for a number of purposes by that office.

A project summary must be completed for EACH YEAR of the proposal. The following fields will be completed by Sea Grant staff: ICODE, Project Number, Project Status, Sub Program, Affiliation Codes, and Sea Grant Strategic Plan Classification. The "Institution" field should be completed with "Woods Hole Oceanographic Institution" and "Effort" fields should be completed in labor months. The form must be limited to two pages, with the first page ending with the "Sea Grant Strategic Plan Classification" field. Guidelines for page two are as follows:

The "Objectives" section should state concisely what the investigator will undertake to do. Stated objectives should enable later comparison to project results. The objectives should begin with the word "To", followed by a verb. The most appropriate verbs for Sea Grant are: *test* (the hypothesis), *develop, provide, determine, isolate, characterize, identify, restore, implement*. Less desirable but sometimes appropriate verbs are: *promote, conduct, analyze, apply, investigate, examine, describe*. Do not use verbs like *study, consider,* and *continue*, since failure to do these is not determinable.

For the "Methodology" section, in concise outline form, with an optional one or two sentence preface, state the methodology to be used. Specific questions that an interested person would ask should be answered (such as which pollutants, what species of shellfish, what kind of model?).

The "Rationale" section should make a concise statement of why this problem or opportunity is being addressed. The project need not promise to fully solve a problem, but it should be shown as a logical step toward a solution. Long involved background statements should be avoided. Potential users of the research results, if they have been identified, should be stated here.

Sea Grant Budget (90-4) and Budget Justification

<u>A budget must be completed for EACH YEAR of the proposal. And a SUMMARY budget combining the two years of support is also requested.</u> If your budget includes a subcontract, the subcontract budget information should also be submitted in the form of a completed 90-4 form (again, one for each year of support and a summary).

Leave the Grant/Project No. box blank. For Year, insert "Year 1" for the first year budget, "Year 2" for the second year budget, and "Summary" for the summary combining the two years of support. For Duration, enter "2/1/18-1/31/19" for the first year budget, "2/1/19-1/31/20" for the second year budget, and "2/1/18-1/31/20" for the summary.

In addition to preparing the budget worksheet, you must submit a budget justification that provides details for expenditures in the budget categories listed below; costs for each year must be listed separately. For every dollar value you enter into your budget, you are required to enter a justification for that line item. Failure to do so may compromise your proposal submission. The budget justification must be a detailed description of each cost item in the 90-4 budget page. Multi-institution proposals should document all cost items in one summary budget justification (subcontracts must have their own budget justifications). Please list each budget justification following the same headings as on the budget sheet, indicating the item, the cost, and an explanation of the item, in the following format:

G. Other Costs. 4. Analytical and Shop Services. $1000.00 Analysis of 20 water samples by ICP-MS for 12 trace metals/sample.

The 90-4 budget form is divided into two budget columns. The Sea Grant funds column indicates what you will request from Sea Grant to support the project. The Matching funds (or cost share) column indicates what you (your institution, collaborators, or partners) will commit to the project (see "Cost Sharing," below, for more details about matching funds). Be sure to list the appropriate amounts within each category. It will be your responsibility to ensure cost share commitments are met on your project.

Documentation for Cost Share with specified dollar amounts and approved signatures must be included.

<u>Budget Categories:</u>

A. Salaries and Wages

Actual numbers of personnel in each category should be shown in "No. of People."

The "Amount of Effort" columns refer to labor-months. The number you enter in these columns would be the total number of labor-months—by personnel category—for the total effort (Sea Grant request and matching funds). Please use months (not weeks, hours, years, etc.).

Under the "Sea Grant Funds" and "Matching Funds" columns, enter the dollar totals for all categories.

Please review the following list of personnel definitions used by the NSGCP. (They do not correspond clearly to WHOI titles.) Most proposals use categories 1.a., 1.b., 2.b., 2.c., and 2.f.

1.a (co) Principal Investigator - is responsible for the activity; if two people share the responsibility equally, they should be listed as co-P.I.s.

1.b. Associates - professional persons who are full time (includes three-quarter time) on the faculty or staff

2.a. Professionals - any non-staff person associated with the project

. **2.b. Research Associates** - professional persons who are part-time employees, professionals who are retained solely for the project, or staff members of other participating organizations. Consultants should be listed under "Other Costs."

. **2.c. Research Asst./Grad. Students** - WHOI GRAs should now be listed in this section of the budget

. **2.d. Prof. School Students** - enrolled in medical, legal, and other professional schools

. **2.f. Secretarial-Clerical** - office personnel

. **2.g. Technicians** - persons with special but non-professional skills

. **2.h. Other** - as needed, if not included in categories above.

The line for "total salaries and wages" should show the sum of each category.

Budget Justification Tip: In addition to listing name, title, months of salary requested, personnel cost, indicate the role each member will play in the project. The investigators' commitments must be reflected as either funds requested or cost sharing funds.

B. Fringe Benefits

The dollar amount listed on the fringe benefit line should represent total fringe benefits for all personnel listed. If different rates apply to various personnel, note that in the budget justification.

C. Permanent Equipment

Permanent equipment is defined as tangible property with a unit value of at least $5,000 and a useful life of more than one year. List each item and the cost.

Budget Justification Tip: Briefly explain how each requested item of permanent equipment will benefit or be used for the project.

D. Expendable Supplies and Equipment

List supplies and expendable equipment, excluding general office expenses. Expendable equipment includes items under $5,000 or having a useful life of less than one year. Software is categorized as expendable supplies.

Budget Justification Tip: Provide a brief breakdown and explanation of anticipated needs for services, supplies, and expendable equipment, such as what you will purchase and how much each item will cost. You may group items under generic categories such as laboratory glassware. Do not include ordinary office expenses. "Miscellaneous" and "etc." are not allowable terms to use in budgets or budget justifications.

E. Travel

List estimated transportation costs (including costs for ground transportation such a personal car mileage or rental car), per diem, and lodging. Domestic travel is travel within the United States. Funds may be requested for work in the field, attendance at meetings and conferences, other travel associated with the proposed work, and per diem. Foreign travel is travel outside of the United States. **<u>Persons using federal Sea Grant funds</u>**

must travel by U.S. flag carriers.

Budget Justification Tip: Provide a brief explanation of each anticipated trip, including name of travelers, destination, breakdown of costs (i.e., per diem, airfare, ground transport), purpose, and how it benefits the project.

F. Publication and Documentation Costs

Estimate the costs of publishing the results of this project. Consider both page charges and the cost of reprints. (NOTE: PDF versions of journal articles will now be accepted to fulfill Sea Grant's requirement of publication submission.)

G. Other Costs

List other direct costs as outlined below.

Budget Justification Tip: List other items such as computer time, equipment rental, photocopying, communications (telephone, fax, and electronic mail charges), shipping/postage charges, shop services time, IS time, ship time, facility charges (e.g. Mass Spec, HP Plotter, ION Microprobe), consultants, GRA tuition, summer student fellows, subcontracts. Again, "miscellaneous" and "etc." are not allowable terms to use in budgets or budget justifications.

Subcontract - If a portion of the proposal's research is to be completed by another institution or business, the work to be completed by the subaward institution should be described in the narrative of the proposal. The following items must also be submitted for subctracts:

- A separate budget form (90-4) for each project year (and summary) and a budget justification listing costs for each year separately.
- Name and signature of the officer at the institution or business responsible for approving the subcontract (need original as well as electronic copy)

Indirect Costs

An explanation for all indirect costs must be included in the budget justification.

WHOI Proposal No.

WHOI PIs and Department Administrators should add the WHOI Proposal Number to the form. All other PIs should leave this field blank.

Cost Sharing

Cost sharing funds are those portions of project costs that are not borne by Sea Grant. More specifically, Sea Grant funds should represent two-thirds of the total project cost, with the remaining one-third representing matching funds. These costs may be funded by WHOI, your university, or by a third party. It is the responsibility of the PI and the PIs institution to ensure that cost share commitments are met as presented on the budget sheet.

In general, expenses that are allowable as project costs are also allowable as cost sharing. For example, salaries and related benefits paid from non-federal sources for faculty, staff, and students working on the project are allowable as cost share.

All cost sharing funds from colleges, departments, and outside sources should be listed on the budget form under the appropriate categories *and* described in the budget justification in detail. **(Federal funds may not be used as cost sharing).** Letters signed by the officer at the institution or business responsible for providing the proposed cost share must be included with the proposal.

Cost share is difficult to modify later and is a firm commitment. All PIs are asked to pay extra attention to cost share sources and documentation. This information will be subject to extra scrutiny this year and can potentially hold up the submission of your proposal.

Documenting Cost Share

PIs must include signed documentation of cost-share or match with their proposal. Federal funds cannot be used as cost share on federal awards, even if the funding agency is different. *(WHOI PIs: Internal WHOI funding may be used for cost share on federal awards provided (1) the work supplements or benefits the proposal for which match is required; (2) the period of performance of the matching funds is within the period of performance of the prime award; and (3) sufficient funds remain in the account to be used as match and those funds will be retained for use during the period of the prime award.)*

Proposal preparers: Documentation must be clear as to specific dollar amount of cost sharing being provided, source (where the funds are from), and certified/signed by the person with authority over the source funds (not the PI). Documentation must be consistent with the budget and budget justification. Multiple sources of cost share will require a separate certification for each source. (Sample Cost Share Form can be found in the Appendix.)

Proposal Text

The following tips, from the National Science Foundation to proposal writers, apply equally well to Sea Grant:

1. Try to make your proposal convey your own enthusiasm for the concept and for the approach.

2. Make sure that the proposal is technically perfect. Comply completely with the guidelines. Reread your proposal as if you were reviewing someone else's proposal. Look for flaws and correct them, including spelling and grammar.

3. Ask yourself (a) if all the budget items requested are really necessary to conduct the project and (b) if the research would be substantially diminished if any item were deleted. If the answer to either question is "no," then do not request funds for that budget item. Do not pad your budget request.

Preparing the Text

- Typing - Single space the narrative. Type size must be no smaller than 11 point and the right margin should not be justified. Each page should have 1-inch margins all around.

- Length of the Manuscript - No minimum number of pages is set for the narrative, but it should not exceed 15 pages. This maximum length includes tables and graphics but excludes the references, current and pending list, cost share letters, CVs, subcontract budgets and budget justifications, if applicable.

- Page Numbering - Number all pages of the narrative. Put the page number at the bottom center of each page.

- Measurements - Make all measurements metric—meters, grams, degrees Celsius, and so on. Please supplement metric scales with English units in parentheses where needed for clarity.

Contents of the Project Proposal Narrative

Problem or Opportunity – Describe the background for the proposal. Evaluate existing knowledge, and demonstrate how related work, past and present, supports this proposal.

Avoid relying solely on technical terminology; for instance, supplement scientific names with common names. Refer to supporting information with appropriate citations.

Objectives - State the overall purpose of the proposal: What is the question you plan to address or the outcome(s) you seek to achieve? Show clearly how the goals of the project are related to the needs described earlier. Be concrete and specific.

Then list your project objectives. Present them in the same order in which they appear in the "Objectives" section of the Project Summary.

Approach and Methodology – Describe the overall approach to be taken to address the opportunity or problem identified. Discuss in detail the experimental design and the procedures that will be used to achieve the specific aims of the project. Identify specific tasks and describe the methods necessary to accomplish each task. Include the means by which the data will be analyzed and interpreted.

Expected Outcomes and Impacts - Justify the need for the proposed project and its activities. Who are the beneficiaries of your project? Be as specific as possible and indicate whether you and these beneficiaries have been in communication to develop the project ideas and objectives. State what you feel are the potential benefits accruing to individuals, organizations, or society in general from the application of the project's results. What effects or changes might be expected? When might these impacts or outcomes be expected?

Evaluation of Project Outcomes and Outreach - Indicate the ways in which the project's results may be applied or disseminated and describe how the results of your project will be used by others. Are these the same parties identified as potential beneficiaries above? Estimate the time frame in which the results would make a difference to project beneficiaries. Further, please describe the means by which Woods Hole Sea Grant or others could evaluate and disseminate the results of your project.

Project Management - Describe the steps you will take to coordinate the project with project team members and collaborators and with interested parties and Woods Hole Sea Grant. Consider and describe how you might disseminate the results of your project. Also describe the role that you intend to play in transferring knowledge or skills generated by your project to others.

List of Collaborators

List by category all collaborating governmental and nongovernmental organizations, participating academic institutions, and industrial participants. The specific categories are as follows:

1. U.S. universities and colleges
2. Foreign universities
3. Associations
4. Councils
5. Private industries
6. Government

a. Local agencies
b. Massachusetts state agencies and commissions
c. Other state agencies
d. Federal agencies

Milestone Chart/Work Plan

Identify the major benchmarks or milestones for the project and estimate the dates of initiation and completion of each benchmark.

Other Required Documents

The following proposal components should also be included in your proposal

— References/Bibliography

— Current and Pending (for each P.I.)

— C.V., short version (please limit to one page ONLY per P.I.)

Data Management Plan

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). If your project produces environmental data, it must conform to NOAA's Data Sharing Directive for Grants, Cooperative Agreements, and Contracts. For detailed guidance, please view the current version of the policy, including a definition of environmental data (which can include socioeconomic and model data), download any updates and access additional implementation resources at the following permanent URL (Appendix B outlines requirements):

https://nosc.noaa.gov/EDMC/documents/Data_Sharing_Directive_v3.0.pdf

Proposals submitted in response to this Announcement must include a Data Management Plan describing how these requirements will be satisfied. To comply with this requirement, the Principal Investigator must use the form below to explain how the data and metadata will be provided. Please complete the form, including information for all applicable datasets related to your project(s). If funding is required for data curation and archiving, please make sure that funds are budgeted in the project proposal for data management. All data generated through Sea Grant funded projects are required to be completely QA/QC'ed (Quality Assurance and Quality Control) and made publicly accessible **within two years after the end date of the project**. If the proposed research will not generate environmental data, then a Data Management Plan will need to be stated as such: "This project will not generate any environmental data."
(See further instructions in the Appendix).

List of Suggested Reviewers

A list of 5 potential peer reviewers must be submitted by May 22, 2017, to seagrant@whoi.edu and include complete name, address, phone, and e-mail for each reviewer. Each reviewer is required to sign a statement certifying the absence of conflict of interest, so please choose accordingly and be aware of standards for

Conflict of Interest with respect to recent co-authorship, collaboration, and other professional relationships.

Reporting Requirements

NOAA requires Sea Grant programs to report the impacts, accomplishments and metrics of each proposal it funds, and sets strict deadlines and formats for these reports as part of its robust and integrated Planning, Implementation and Evaluation System. These products include annual reports and performance measures that are used to review the program and ensure it is meeting the expectations as set forth in by Congress.

Programs are evaluated in three general areas: 1) on their approach to management; 2) on the scope and success of their engagement with stakeholders; and, 3) on the impact their program has on society from both an environmental and a socio-economic perspective. In other words, program viability and future funding is based on highlighting the positive impacts funded research is having on the people of Massachusetts and the nation.

As a result, funded researchers are expected to provide:

1. Annual progress reports while project is underway and a final report when completed, both within a reasonable time frame. The reports should include specific impacts and accomplishments. Details on impact statements and metrics desired will be provided to researchers upon funding.

2. Copies of any publication or product intended for public dissemination produced as part of, or as a result of, the project. This includes peer-reviewed reprints from journals, books and proceedings, brochures, pamphlets, news articles, DVDs, etc. These documents are submitted to the National Sea Grant Library (NSGL) at the University of Rhode Island. Only documents actually received and recorded by the NSGL count toward the program's performance.

Admin Guidelines Specific to Proposals Being Prepared by WHOI PIs ONLY

— For new proposals: if WHOIgrants was used in preparing the pre-proposal, the submission is now 01 and the type is "new"; if WHOIgrants was not used in preparing the pre-proposal, the submission is 00 and the type is "new"

— For proposals continuing from our current omnibus (in which case a progress report is being submitted): in WHOIgrants, enter the original (current) proposal number (BIxxxxx) in the "PropLog" field and select "find." The converted record will appear. Right click on the "P" (proposal), which will show the converted WHOIgrants proposal number, and add a submission

— Add Judy McDowell, Matt Charette, and Mary Murphy as a defined user at the proposal level. This will allow the Sea Grant office access to the budgets as the omnibus is being prepared.

— In the distribution box, indicate that the proposal is being submitted directly to Judy McDowell in the Sea Grant office

— Before submitting the full proposal to Sea Grant, you must freeze the version and have the Dept. Administrator click on the "To Routing" button

— WHOI budgets (generated by WHOIgrants) are not required by Sea Grant (please use the 90-4 budget form. Proposals will be routed electronically and submitted to the Sea Grant Office by WHOI Grant and Contract Services. Please allow sufficient time for GCS to meet the June 2, 2017, 4:30 p.m. deadline delivery to the Sea Grant Office.

Appendix
Sea Grant Data Management Plan Form
Proposal Submission Phase

Title of the Proposal (required answer):

Name of the lead PI (required answer): Sea Grant requires that the lead PI serve as the data steward.

Contact Information (required answer):

Dataset Description(s) (required answer): What data will the dataset(s) contain? This includes descriptive details on data types, inclusion of metadata, data format(s), collection times / date ranges, etc. What name(s), if any, will be designated to the dataset(s)?

Do you agree to release all data no later than 2 years after the end-date of the project? (required answer):

Issues (required answer): Are there any legal, access, retention, etc. issues anticipated for the dataset? If yes, please explain.

Data Size: What will be the estimated size of the dataset? Please report estimated number of MB, GB, TB, etc., collected.

Data Format: What format will the dataset utilize? (i.e., Excel file, model code, audio/video recording, etc.)

Ownership (required answer): Who will own the dataset, if not the lead PI?

Post-Processing: What post-processing, QA/QC will this dataset undergo? Who will be responsible for performing this post-processing and QA/QC to prepare the dataset for its deposition into a repository?

Preservation Plan (required answer): What data repositories will be used to host the dataset? If none, how will the data be preserved?

Products: Will any information or data products be developed from this dataset? How will the related costs be supported? Which organization(s) will be producing these products?

Other Comments: Are there any additional comments related to the data that will results from your Sea Grant-funded study?

Sea Grant Data Management Form
Project Completion Phase

Date Submitted (required answer):

Title of the Proposal (required answer):

Name of the lead PI (required answer): Sea Grant requires that the lead PI serve as the data steward.

Contact Information (required answer):

Dataset Description(s) (required answer): What data do the dataset(s) contain? This includes details on data type, format, collection times / date range,etc. What name(s), if any, will be designated to the dataset(s)?

Issues: Are there any legal, access, retention, etc. issues existing for the dataset(s) (i.e.; IRB restrictions)? Please explain.

Data Size: What is the estimated size of the dataset? Please report estimated number of MB, GB, TB, etc., collected.

Data Format: What format(s) do(es) the dataset(s) utilize? (i.e., Excel file, model code, audio/video recording, etc.)

Ownership (required answer): Who owns the data, if not the lead PI?

Post-Processing: What post-processing, QA/QC has this data undergone? What organizations performed this post-processing and QA/QC to prepare the data for its deposition into a repository?

Preservation Plan (required answer): What data repositories were used to host the dataset? If none, how was the data preserved?

Please provide URL for any data repositories that were used to preserve these data and any necessary information needed to extract the data.
Keywords (required answer): Please provide a list of terms used to query the database.

Release Date (required answer): When will this dataset be available to the public? Reminder: the release date must be no later than 2 years after the end of the project.

Products (required answer): Have any information or data products been developed from this dataset? Which organization(s) produced these products? Please provide a location for any products that were produced as a result of this project.

Preferred Data and Product Citations (required answer): How to reference data, publications, or any other project outcomes?

Other Comments: Are there any additional comments related to the data that you produced with your Sea Grant funding?

WHOI EXAMPLE COST SHARE APPROVAL FORM

Sea Grant Cost Share Authorization Form

Principal Investigator

Project Title

Proposal No.

Amount Authorized for Cost Sharing by XXXX

YEAR 1 — February 1, 2016 – January 31, 2017 Itemize cost share

**TOTAL YEAR 1: $__** ($_X_ salaries, $_X_ benefits, $X MTDC, and $ X other)

YEAR 2 — February 1, 2017 – January 31, 2018 Itemize cost share

TOTAL YEAR 2: $_$__ ($_X_ salaries, $_X_ benefits, $X MTDC, and $ X other)

Approved by:

______________________________________ ________________

Name Date