



(140531)

New York Sea Grant's Special Research Call for Late 2014

INVITING PRE-PROPOSALS FOR RESEARCH Specifically Addressing Goal 4 of NYSG's Strategic Plan

Pre-Proposal Deadline 4:30 PM Wednesday June 25, 2014

Anticipated Funds: \$263,000 for one 2-year project

Note, FYI: The timeframe for this Special Call is tightly compressed due to deadlines set by the National Sea Grant Office. Some of NYSG's normal steps had to be eliminated, namely, the use of external peer Panelists and the opportunity for PIs to respond to mail peer reviews.

The main goal of New York Sea Grant's research program is to provide valid scientific information that will serve as the basis for furthering the sustainable development, use, protection, conservation, and management of our coastal resources. The research must clearly be driven by identified needs and must provide enhanced opportunities for NYSG to 'make a difference' and have an impact on addressing important coastal issues.

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I. BACKGROUND

New York Sea Grant (NYSG) is part of a national Sea Grant network that constitutes NOAA's National Sea Grant College Program. In New York State, Sea Grant is a cooperative program of the State University of New York (SUNY) and Cornell University, with its main administrative offices located at Stony Brook University. In a time of accelerating economic, environmental, and scientific developments, NYSG's mission is to serve as an important partner in helping New York's diverse coastal communities to respond to rapid economic and environmental changes.

II. NYSG RESEARCH AND TOPICS FOR THIS CALL

Sea Grant projects tackle well-defined coastal, Great Lakes, or marine issues confronting modern society. While research projects supported through New York Sea Grant must address problems or opportunities important to New York State, the results of these projects should also be relevant to regional or national needs. Further, the ability of NYSG to present its results as relevant to National Sea Grant priorities within NOAA is very important.

NYSG supports hypothesis-based research related to marine, Hudson estuary, and Great Lakes topics and issues. Projects must be oriented toward answering "why" or "how," not just describing "what is." Developmental work on new methods, models, tools, and techniques also qualifies as Sea Grant research. State-of-knowledge synthesis efforts may also be proposed. The project must show an understanding of what constitutes necessary and sufficient information for responsible decision-making or for applied use, and will be expected to generate such. A project must have sufficient intellectual content (theoretical basis, hypothesis testing) to make it appropriate for university research.

The need, significance, products, usability, target audience (beyond other academics), and expected impact for and of the research must be clearly anticipated and described. ***These will be key factors in the review process.***

Because the Sea Grant mission includes extension of research and other results to stakeholders, discussions with NYSG extension staff (see list in Section VI) may help hone the focus of research projects towards particularly useful information. ***Researchers are strongly encouraged to contact NYSG staff with their ideas to make sure they are addressing the most critical questions and to improve their understanding of what information and products may be most useful to coastal stakeholders. Preference will be given to high-quality proposals which are designed to lead to products and knowledge of significance to NYSG Extension staff and their stakeholders.*** The organization or people whose task it will be to make related decisions, or who will be able to make specific use of the project's results, must be identified. Contact with them before, during, and after the project by the researchers and/or via NYSG staff is expected.

NYSG encourages multi-disciplinary and multi-investigator research. NYSG is also interested in helping to foster new research talent, and encourages submissions from young investigators and others who have not previously received NYSG funding. The development of future scientists and decision-makers through student education is also important to NYSG, and investigators are encouraged to involve graduate and/or undergraduate students in the conduct of their projects.

Efforts inappropriate for Sea Grant funding include those directed solely toward monitoring or surveys, or that are merely demonstration projects. Expansion of understanding solely for its own sake is also considered inappropriate for Sea Grant.

In this Special Research Call for Late 2014, NYSG invites pre-proposals that will advance Goal 4 listed in *New York Sea Grant's Strategic Plan for 2014-2017*, via the Research Topics presented below. Note that research in many disciplines may be appropriate (e.g., biology, chemistry, geology, physical oceanography, engineering, economics and other social sciences, etc.).

Goal 4: Robust and Sustainable Development of Coastal Business

Research Topics -- To help achieve this Goal, NYSG is looking for research that will:

- 4.1 Develop tools, techniques and methods to determine potential impacts on coastal resources from activities such as boating, construction, dredging and other economic activities;**
- 4.2 Develop techniques so that coastally-located businesses can cost-effectively reduce their impact on nearby habitat and meet regulatory requirements;**
- 4.3 Develop tools, techniques and methods (through natural and social science research) to assess economic impacts of coastal businesses on coastal economies or to assess economic impacts of coastal phenomena such as harmful algal blooms, aquatic invasive species, and coastal processes (such as erosion and accretion) on coastal economies; or**
- 4.4 Identify (through social science or other research) effective ways that coastal businesses can diversify income sources.**

The research to be funded must result in:

- **Tools, techniques, and/or methods that coastal tourism and other coastal resource-related businesses, local governments, or other stakeholders can use to maintain and build their economic viability in an environmentally sustainable manner and/or help create and retain jobs, and connect to new markets that will increase sales and income.**

III. GENERAL INFORMATION ABOUT PRE-PROPOSAL SUBMISSION

A. Who is Eligible to Submit:

Sea Grant is a national college program, so faculty at academic institutions are the main targets and recipients of NYSG's research funds. Nevertheless, proposals from other groups may be accepted and approved for funding, too. Eligible groups are listed below in order of preference for funding under this Call:

1. Researchers at universities and colleges.
2. Researchers at other not-for-profit research institutions.
3. Researchers who are personnel of state or local agencies, or of not-for-profit organizations.
4. Researchers at for-profit institutions or companies (with limits).

Important Notes: All proposals submitted under this Special Research Call must be **led** by an eligible researcher with his or her primary professional base in New York State. Federal employees may participate in projects as collaborators, but they may not be included in the budget. Federal employees and institutions are not eligible for compensation or budget items of any sort, and their contributions cannot be considered a source of cost-sharing.

B. Duration of Proposed Work:

In this Call, the funding will cover two years, running from 12/01/2014 through 11/30/2016. While NYSG is accepting proposals for up to two years of work, only one year of support is awarded at a time. Continued support for the second year of a project will be contingent on demonstrated progress. If NYSG receives additional funds again in 2015, then the next highest ranked proposal will be funded beginning in 2015.

C. Budget Size (total of indirect plus direct costs):

The total budget request (direct + indirect costs) for a project ***must be at or near (without exceeding)*** a total of \$263,000 for two years.

D. Cost-Share Requirement:

Sea Grant requires non-federal cost-share (a.k.a. matching funds) support in the amount of at least 50 percent of the Sea Grant funds requested be provided under this Call. For example, for this Special Call, a budget request of \$263,000 must demonstrate an additional \$131,500 of non-federal cost-share over two years. Additional cost-share (i.e., more than 50%) may be provided, but is not required.

E. Limit on Salary Requests:

Principal and associate investigators with appointments providing nine (9) or more months of support annually are generally not allowed to receive more than two (2) months' total salary from NYSG per year. Other eligible principal and associate investigators will generally be allowed to receive only up to six (6) months' salary from NYSG per year. These limits may be relaxed under exceptional circumstances, with prior approval from NYSG. Under all circumstances, the amount of salary support requested or provided as cost-share must be warranted by the effort needed to conduct the project.

F. Duplicate Submissions:

New York Sea Grant should be immediately informed by the Principal Investigator if a proposal submitted under this NYSG Call will be also be considered under other Calls, e.g., as released by the National Sea Grant College Program, another state Sea Grant program, or any other funding agency or source. In addition, please note that it is New York Sea Grant's policy to consider only submissions specifically in response to, and within the due dates for, this Call. Proposals will not be considered unless they were in this Call's pool from the start as a pre-proposal.

G. Data Management/Sharing Plan 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 new 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 new requirement, in NYSG's full proposal stage, the principal investigator must include a data management 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 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 may be included in the project pre-proposal and full proposal budgets.

H. What and When to Submit:

The completed PC-readable Pre-proposal Submission Form (see Section VII) ***must be received by the deadline of 4:30 pm EDT on Wednesday, June 25, 2014*** at NYSG's electronic submission web site: www.NYSGProposal.org. Navigate to "New York Sea Grant's Special Research Call for Late 2014" and follow all directions for electronic submission. At the pre-proposal stage, signatures of principal investigators or campus officials are not required.

Do not include information or materials supplemental to the Pre-proposal Submission Form (e.g., full budget breakdown, appendices, letters of support, etc.). Such materials will be discarded without review.

Important notes about pre-proposal submission: Submissions that do not include the required information will lose rating points (see Section VII for Instructions).

- Double-check your Pre-proposal Submission Form file before uploading it at the submission web site to make sure it is PC-readable and that it is your final version. *It must be in the form of a single pdf file.* You will receive an auto-receipt from the web site confirming your submission, but this is not an indication that your file is readable.
- We recommend submission via a PC at your university office, with a current version of Internet Explorer, Firefox, or Google Chrome web browser installed.
- If you have trouble with submission through www.NYSGProposal.org, call NYSG (631-632-6906) to explain the problem. We will try to help, but cannot guarantee that we can solve your problem. In any case, unless the web site (housed on the Stony Brook University server) becomes inoperable, it is *your* responsibility to use equipment that will allow you to meet the deadline.
- All submissions will be checked in the order they were posted and any that contain a virus or that are unreadable cannot be accepted. The lead investigator will be notified about this by email. However, NYSG cannot guarantee that this check and notification will take place before the 4:30 PM deadline.
- Any submission after the deadline of 4:30 PM on June 25, 2014, cannot be accepted and its lead investigator will be notified. Please be sure to watch the time and the clock on the website! Even if you are on the web site before the deadline, if your information and file are not completed and submitted by 4:30 PM, it will be too late to be accepted.

NYSG will not make exceptions to these conditions, so ***early submission is very strongly advised.*** The official time stamp on the submission is provided by the web site's server.

IV. THE REVIEW PROCESS

All pre-proposals submitted to NYSG in response to the *Special Research Call for Late 2014* will be screened by NYSG's senior staff and extension specialists. The following criteria will be evaluated:

- Explanation of relevance to the Research Topics listed as 4.1 through 4.4 on page 3 of this Call, and the significance of the specific problem, need, or opportunity the proposal will address (0 to +5)
- Expected products and anticipated impact(s) from the results (0 to +5)
- Likelihood that the approach will be successful (0 to +2)
- Information missing from any of the pre-proposal sections, 1 through 9 (0 to -1, per section)
- Other programmatic considerations

Only authors of the six (6) most highly-rated pre-proposals will be invited to submit full proposals with the intention of funding one of them to begin in December 2014. An additional project from the Call will be supported in 2015, if additional funds are again received. No projects will be supported if the mail peer reviews indicate that they are of insufficient quality (i.e., below "Good").

Full proposals will be subject to mail peer review. NYSG's senior management will also utilize additional input from NYSG's extension staff. The project NYSG decides to fund will be selected primarily on the basis of the following criteria: responsiveness to the NYSG conditions, priorities, and Research Topics outlined in this Call; significance of the specific problem or opportunity; scientific or technical merit of the workplan, including also the professional qualifications of investigators and appropriateness of the budget request and match; expected products and anticipated impact(s) from the results; and other programmatic value. Performance and accomplishments with previous NYSG funding will be considered also, if applicable. The National Sea Grant Program Office oversees NYSG's review processes and does not conduct a separate evaluation of individual proposals.

V. Timeline of Special Call for Late 2014

June 4, 2014	Special Call for pre-proposals released
June 25, 4:30 pm	Deadline for pre-proposals (must use NYSG submission web site)
July 15	NYSG invites selected PIs to write full proposals
August 12, 4:30 pm	Deadline for full proposals with all authorized signatures (must use NYSG submission web site)
October 1	NYSG notifies successful investigators
December 1, 2014	Funding begins for one project
December 1, 2015	Funding continues if progress is satisfactory
December 1, 2015	Funding begins for a second project, if additional dollars are received.

VI. NEW YORK SEA GRANT STAFF

Research Administration (at Stony Brook University)

William Wise, Interim Director (631-632-6905, william.wise@stonybrook.edu)

Cornelia Schlenk, Assistant Director (631-632-6906, cornelia.schlenk@stonybrook.edu)

JeanAnn Johnston, Fiscal Officer (631-632-6908, jean.johnston@stonybrook.edu)

Lane Smith, Research Program Coordinator (631-632-9780, Lane.smith@stonybrook.edu)

Extension Specialists (locations throughout New York State)

Katherine Bunting-Howarth, Associate Director (607-255-2832 at Cornell University, keb264@cornell.edu) – coastal policy and decision-making; public participation; human dimensions of coastal management.

Antoinette Clemetson (631-727-3910 at the Cornell University Research & Extension Center in Riverhead, aoc5@cornell.edu) – marine recreational fisheries; lobsters; marine fisheries diseases.

Helen Domske (716-645-3610 at SUNY Buffalo, hmd4@cornell.edu) – coastal education; avian botulism; Great Lakes ecosystems; emerging contaminants.

Ken Gall (klg9@cornell.edu) – seafood safety; seafood processing; seafood utilization; seafood education.

Nordica Holochuck (845-340-3983 at Cornell Cooperative Extension of Ulster County in Kingston, nch8@cornell.edu) – stewardship; coastal recreation; habitat issues; Hudson River issues.

Eileen Keenan (631-632-8730 at Stony Brook University, ek72@cornell.edu) – water quality; stormwater management ; non-point source pollution.

David MacNeill (315-312-3042 at SUNY College Oswego, dbm4@cornell.edu) – sportfishery development; fisheries biology, management and conservation; aquaculture; ecosystem change; aquatic invasive species.

Amy Mandelbaum (631-632-9216 at Stony Brook University, acb328@cornell.edu) – Long Island Sound issues.

Charles O'Neill (at Cornell University, cro4@cornell.edu) – invasive species.

Mary Penney (315-312-3042 at SUNY College Oswego, mp357@cornell.edu) – Great Lakes coastal communities; aquatic invasive species.

Jay Tanski (631-632-8730 at Stony Brook University, jjt3@cornell.edu) – marine facilities; coastal processes and erosion control; sea level rise and other coastal hazards.

David White (315-312-3042 at SUNY College Oswego, dgw9@cornell.edu) – coastal recreational facility design, management, and operation; coastal recreation participation, uses, and impacts.

Communications Staff (at Stony Brook University)

Barbara Branca (631-632-9124, barbara.branca@stonybrook.edu) – communications manager.

Paul Focazio (631-632-9124, paul.focazio@stonybrook.edu) – writer, web developer.

VII. PRE-PROPOSAL SUBMISSION FORM INSTRUCTIONS

Be sure to use the format and provide the information as described below. **Every Section (1-9) and all of the information specified within it is required.** Submissions that do not include all of this information will lose rating points. Use all-around margins of at least 1" and a font size no less than #12 Times New Roman.

* * *

Pre-proposal Submission to NYSG's Special Research Call for Late 2014

Date: _____

1. LAST NAMES OF PRINCIPAL INVESTIGATORS: (e.g., Smith / Doe / Jones)

2. BRIEF PROJECT TITLE:

3. INVESTIGATOR(S): List **all** principal (PI), co-principal (co-I), and associate (AI) investigators, including name, mailing address, telephone, and email for each. ***Also*** indicate eligibility category (#1, 2, 3, or 4) from the Call's Section III.A for each. The primary professional base of the lead investigator must be in New York State. Students and NYSG staff cannot have PI, co-I, or AI status.

4. RESEARCH TOPIC NUMBER:

Indicate the Research Topic number, from page 3 of this Call, that will be addressed by this submission (e.g., 4.2 *Develop techniques so that coastally-located businesses can cost-effectively reduce their impact on nearby habitat and meet regulatory requirements*).

5. BUDGET: Totals of direct plus indirect costs.

A. Estimated Two-Year Request for Federal Funds from New York Sea Grant

Total Request \$ _____

B. Estimated Non-Federal Cost-Share to be Provided to New York Sea Grant

Total Match \$ _____

C. Expected Source(s) of Cost-Share:

D. Data Management Plan: Indicate your recognition that an acceptable data management/sharing plan will be required as part of a full proposal, that compliance with the plan will be required if the project is funded, and that the pre-proposal's budget estimate provides for this. _____ yes.

6. BRIEF DESCRIPTION OF PROJECT: Starting on a *new* page, **use no more than two pages** with the following a-e headings to describe your proposed project. Use all-around margins of at least 1" and a font size no less than #12. Anything beyond two pages (or estimated to be beyond, if margins or font are incorrect) will be discarded prior to review.

- a) **STATEMENT OF THE ISSUE:** Explain the significance of the specific problem, need, or opportunity you wish to address and its relevance to one of the Research Topics listed on page 3 of this Call.
- b) **OBJECTIVES and APPROACH:** List the overall objectives of your proposed study, with a statement of the hypothesis(es) to be tested. Or, if this is model or technique development or a synthesis effort, clearly state the intent. Then, very briefly describe the general approach to be used in accomplishing the objectives.
- c) **EXPECTED PRODUCTS and ANTICIPATED IMPACT(S):** Explain what products (tools, techniques, and/or methods) are expected to result from this project, who will use them, and what their anticipated impact(s) will be within New York and elsewhere. *This is one of the most important sections of your submission!*

7. LITERATURE CITED: Present the full citations for any work referenced under Section 6, where they may be labeled as (1), (2,3), etc. The space required for Section 7 is not counted under the 2-page maximum for Section 6. If no references are used in Section 6, state “none.”

8. CVs: Provide a Curriculum Vita for each listed investigator (Principal Investigator, Co-Principal Investigator, Associate Investigator) with 2 page maximum per person, using the format required by NSF. Contact NYSG if you need instructions.

9. POSSIBLE PEER REVIEWERS: Starting on a new page, list the names and affiliations of four out-of-state individuals of national standing and pertinent expertise who could provide informed peer reviews of your submission. Do *not* include individuals with whom you have worked or collaborated within the last 4 years or who would be considered to have a professional or personal conflict of interest. We may or may not use these individuals, so do not contact them yourself.

The information for Section 9 is for internal NYSG use only. Like Sections 1 through 8, omitting this section will cause your submission to lose rating points.