

## Guidelines for Out-of-Cycle Funding Requests to New York Sea Grant

(Revised September 2015)

Most of New York Sea Grant's (NYSG) funds are committed through the development of its biennial "omnibus" submission to the National Sea Grant College Program, which spells out the research, extension and other activities NYSG proposes to fund over the upcoming two years. The omnibus proposal, however, does provide for a limited pool of unobligated monies to fund research, education and other opportunities that arise outside of the normal program development process. Such funding requests are referred to as "out-of-cycle" or OOC since they do not coincide with NYSG's normal Calls for Proposals. NYSG does not fund on-the-ground environmental restoration and/or management activities with OOC or regular omnibus funds. Projects whose impacts will likely be confined to a single location and/or facility are discouraged. The information below is intended to provide guidance for individuals or groups inquiring about OOC requests.

NYSG has established several categories of OOC requests (see below); a request falling outside these categories has little chance of being funded. In making an OOC request, the Principal Investigator (PI) must identify the OOC category under which s/he is submitting and demonstrate that the request falls within the purposes stipulated for that category. New York Sea Grant receives OOC requests year-round. The program's response time to a particular request varies, but most submitters will receive a response of some sort within 2-3 weeks of submission.

OOO requests to NYSG must be submitted via email to the Program Director as a single pdf file:

William Wise, Director

New York Sea Grant

125 Nassau Hall

Stony Brook University

Stony Brook, NY 11794-5001

631-632-6905 (voice)

[william.wise@stonybrook.edu](mailto:william.wise@stonybrook.edu)

Regardless of the nature of the activity to be proposed or what OOC category it might fall within, a call to the Sea Grant office and a conversation with the Director (William Wise) or Research Coordinator (Lane Smith) is often a helpful first step.

## **Category I. Sponsorship of a Workshop, Symposium, Meeting or Other Special Requests (e.g., travel, educational efforts, publications, etc.)**

The purpose of this category is to provide support to *non-research* activities that fit within the program's mission and objectives and its current Strategic Plan. Available funding is generally \$2,500 or less.

### **A. How to request funding:**

1) Applicants should submit a 1-2 page overview of the event or activity describing its purpose, intended audience, and "product" if any; an estimated total cost of all anticipated expenses; a list of other entities approached for support or co-sponsorship and the amount and intended use of funds being requested from NYSG.

2) NYSG will review the request. If a favorable decision is made, funding will be provided as appropriate (e.g., via reimbursement, payment of an invoice upon completion, etc.).

### **B. Standard conditions if funding is provided:**

1) Involvement of NYSG in development and planning, as appropriate, if the funding is for a workshop, symposium, or meeting;

2) Acknowledgement of NYSG sponsorship, as appropriate, on materials related to the event (announcements, day-of materials, any product);

3) Free participation (or observation) for one or more Sea Grant personnel if the event is a workshop, symposium or meeting;

4) At least 2-3 copies of any resulting products (e.g., agenda, abstract, proceedings, manual, report, etc.); and a follow-up report to NYSG that states the number of attendees and whether/which other Sea Grant programs also provided financial or other support.

## **Category II. OOC Research Requests**

OOO *research* support requests must fit within one of the three categories described below. Available funding is generally \$15,000 or less, including any indirect costs, and is non-renewable. Project duration is typically one year. The project must be submitted and led by a faculty member at a New York State-based college or university. The PI must commit working with NYSG extension or other NYSG staff to develop new connections and outreach aspects of his/her OOC research project. This interaction must be described in the proposal.

### **A. How to request funding:**

1) Interested PI's should submit a 1-2 page overview of an idea to "test the waters". The submission must indicate which category of mini-grant is requested, address the

specific criteria of that category, and include an approximate project cost, including campus indirect costs.

2) NYSG will review the overview. If the idea is of interest, an official proposal with all required authorized signatures will be invited. The official proposal needs to be more detailed than the letter overview and include NYSG's usual descriptive sections and a full budget breakdown with justification. Matching funds are desirable but not required on OOC submissions. An invitation to submit an official proposal is not a commitment to fund, just an agreement to review something with more detail and explanation.

The official proposal should be 5-6 pages long and contain enough information so that a peer could evaluate the merits of the proposed project. Further instructions for an official proposal submission will be provided by NYSG, as appropriate.

3) Upon receipt, NYSG will internally review the official proposal and may solicit a peer review(s). If a decision is made to fund the proposal, the PI will be notified and a Letter of Award will be sent to the investigator, accompanied by a standard NYSG Conditions of Award document.

#### Category IIa. Research Mini-Grant -- Rapid Response

The purpose of this category is to give university/college faculty and NYSG the opportunity to respond immediately to unexpected research needs or opportunities.

Criteria:

1) There must be some credible, time-dependent "emergency" need to support the project outside of NYSG's biennial core research RFP competition and funding cycle. Why can't the project wait until our next RFP? Most compelling are projects addressing unique, unexpected situations or phenomena where there is a need to take quick action so as not to miss an important opportunity (e.g., a new phytoplankton bloom; the development of a barrier island breach; or an agency suddenly is faced with making a decision and desperately needs information obtainable through research within the next few months).

Funding cuts from other agencies, departure of key staff, failure/loss of equipment or other such faculty-specific situations do not fulfill the definition of this category.

#### Category IIb. Research Mini-Grant -- New PI

The purpose of this category is, in essence, capacity-building; to provide opportunities for NYSG to broaden its research portfolio and to expand the number and diversity of university/college-based faculty who conduct research of interest to NYSG, New York State and NYSG.

Criteria:

- 1) The funds must be requested by, and the project led by, a New York university/college-based faculty member who has not been funded by NYSG within the past decade.
- 2) The proposed research project must closely address and aim towards fulfilling a specific “Strategy” identified under the Goals in NYSG’s current Strategic Plan ([www.nyseagrant.org/stratplan](http://www.nyseagrant.org/stratplan)). Of most interest will be research addressing Strategies where NYSG has not been able to make much progress under the current Strategic Plan.

Category IIc. Research Mini-Grant – Research Development

The purpose of this category is to provide opportunities for faculty to gather preliminary data, gain expertise and prepare for larger proposal submissions to NYSG and/or other sponsors. Through Research Development OOC’s, NYSG can advance research identified in its Strategic Plan, leverage its funding with external funding sources and generate the potential for extension involvement in larger subsequent grants from other sponsors.

Criteria:

- 1) Proposals submitted and led by a university/college-based faculty member who is within 5 years of having received his/her PhD have highest priority. More senior faculty may request a Research Development OOC grant if they demonstrate that the project would be a significant departure from their previous research.
- 2) The proposed research project must closely address and aim towards fulfilling a specific “Strategy” identified under the Goals in NYSG’s current Strategic Plan. Of most interest will be research addressing Strategies where NYSG has not been able to make much progress under the current Strategic Plan.
- 3) The request must include a list of several potential sources of larger funding and the range of potential funding amounts.