

RFP-I Preparation and Submission Instructions

I. Letter of Intent

A. Letter of Intent

A Letter of Intent (LOI) must be submitted to the Consortium for Ocean Leadership on or before **9:00PM EDT, 9 May 2011**. This LOI will be submitted via a web-based form at <http://gulfresearchinitiative.org/request-for-proposals/rfp-i/submission-forms-and-templates/loi-submission-form/>; you will receive a confirmation of submission with an identifying LOI Submission Number. Once the deadline for LOI submission has passed, the web-based form will no longer be active. Information on how to submit full proposals is provided in section D of this document.

The letter of intent shall consist of the following elements:

1. Project Overview.
 - a. The Consortium Director / Principal Investigator (PI)
 - b. Lead Institution Name and Location
 - c. Title of the Consortium
 - d. Estimated Funding Request
2. Project Description.
 - a. The specific topic(s) of research and research themes being addressed
 - i. Physical distribution, dispersion, and dilution of petroleum (oil and gas), its constituents, and associated contaminants (e.g., dispersants) under the action of physical oceanographic processes, air–sea interactions, and tropical storms.
 - ii. Chemical evolution and biological degradation of the petroleum/dispersant systems and subsequent interaction with coastal, open-ocean, and deep-water ecosystems.
 - iii. Environmental effects of the petroleum/dispersant system on the sea floor, water column, coastal waters, beach sediments wetlands, marshes, and organisms; and the science of ecosystem recovery.
 - iv. Technology developments for improved response, mitigation, detection, characterization, and remediation associated with oil spills and accompanying releases of gas.
 - v. Fundamental scientific research integrating results from the other four themes in the context of public health.
 - b. Special capabilities that the proposed research consortium brings to the GRI
3. People (Including anticipated Director/ PI, Co-PIs, existing institutional partners and key researchers). Limit twenty.
 - a. Name
 - b. Institution
 - c. Address

- d. Telephone number
- e. Email address

The LOI, without the information on estimated funding request, will be published at <http://gulfresearchinitiative.org/request-for-proposals/rfp-i/letters-of-intent/> to improve the opportunities for collaboration between and among those interested in being participants in consortia. Also, the LOI information will provide essential information for avoiding conflict of interest in the review process.

B. Letter of Intent-Update

A LOI-update requiring the same information as the initial LOI, in a more complete status, must be submitted to the Consortium for Ocean Leadership on or before **9:00PM EDT, 6 June 2011**.

The LOI-update should be submitted via web-based form (<http://gulfresearchinitiative.org/request-for-proposals/rfp-i/submission-forms-and-templates/loi-update-form/>) and should include:

1. LOI Submission Number
2. LOI Status Selection (select one)
 - a. No change
 - b. Changes (including additions)

C. Letter of Intent Submission

When preparing a LOI and its update for this competition, applicants are encouraged to review the GRI web site for updated information and answers to frequently asked questions: <http://griresearchboard.org/faq/>

II. Full Proposal

The full proposal will provide much more detail than the LOI and will include information on project implementation. Every effort should be made to fully address questions noted in the request for proposals (RFP) clearly and concisely. Required proposal components are given below. Full proposals must be submitted to the Consortium for Ocean Leadership on or before **9:00PM EDT, 11 July 2011**. Applicants are strongly encouraged to seek guidance from contracting officers representing each consortium member early in the proposal development process.

A. Required Sections of the Full Proposal

The full proposal must include the main supplementary documents described in Sections 1-9, below. Page limits are indicated where necessary.

1. Cover Sheet (1page) (see Appendix A for template)
 - a. LOI Submission Number

- b. Title of the Consortium
 - c. Lead Institution Name and Location
 - d. Consortium Director / PI Information
 - e. Co-PI Information (for the purpose of this RFP, the co-PI is defined as the lead investigator at a member institution of the consortia)
 - f. Budget and Duration Information
 - g. Proposal Authorization (Signatures of those persons duly authorized to sign such documentation on behalf of the Lead Research Institution)
2. Consortium Summary (2 pages). The summary should be written in the third person, and be informative to persons working in the same or related fields, and understandable to a scientifically or technically literate lay reader. Avoid jargon. Provide a concise description of the Consortium including research objectives and goals. Describe how the proposed consortium will address any one of the themes put forth in Section I of RFP-I, or a cross-disciplinary program of work involving a grouping of more than one of the topics. Describe the integrative nature of the Consortium and articulate the potential scientific and societal impact of the Consortium if funded. Identify all member institutions and describe the major contribution of each to the Consortium activities.
 3. Table of Contents
 4. Consortium Description (35 pages total, including tables and illustrations [the suggested page ranges provided below are acceptable ranges for each element of the Consortium Description; however, the maximum pages allowed is 35]). The description shall indicate the interest, approach and qualifications of the research consortium and address the questions put forth in RFP-I under Section III.
 - a. Executive Summary (1 page): Provide a short statement of no more than one page that offers a high-level snapshot of key elements of the approach and the qualifications to serve as one of the research consortia.
 - b. Narrative Description of the Research Objectives and Goals of the Consortium (10-12 pages): Provide a clear and compelling statement of the scientific questions to be addressed, milestones expected to be achieved, and ultimate goals of the research program. Include a clear description of the rationale for any sub-projects included in the proposal and how they will be coordinated to develop integrated results. Provide timelines for all activities. A clear statement of how the proposed research will contribute to the goal of improving environmental health in the face of human activity should be included. Describe how the consortium will combine state-of-the-art research approaches with deep scientific knowledge of the Gulf of Mexico to create fundamental advances in understanding the interactions that occurred and continue to occur between the marine ecosystem, oil, and oil dispersants produced by the catastrophic loss of the Deep Water Horizon oil drilling platform.
 - c. Narrative Description of the Approach (3-5 pages): Provide a detailed description of the proposed approach for carrying out the research. The approach should:
 - emphasize innovation and best practices;

- specify the lead role of each consortium member institution in each research topic/goal area, which members of the consortium will be working on each sub-topic (or sub-project) within the proposed activities and the number of postdoctoral researchers and graduate students involved in each sub-topic (or sub-project) (see Appendix B for template); and
- provide sufficient detail to allow assessment of the scientific merit of the proposal.

d. Narrative Description of Qualifications of the Consortium (3-5 pages):

Provide:

- a synopsis of key research accomplishments by members of the Consortium that establishes the feasibility of the program;
- an overview of mission-driven initiatives of similar size and scope supported at the lead institution of the proposed Consortium, and/or previously run by its PI (Director);
- a description of how graduate student and postdoctoral career mentoring will be ensured;
- metrics of progress to be used in evaluating personnel involved in the Consortium; and
- a description of departments, infrastructure and experience available for procuring and administering government and non-government contracts and grants.

e. Narrative Description of the Public Education and Outreach Objectives of the Consortium (3-4 pages): Describe the public education and outreach objectives and outline strategies for achieving them. Provide an education and outreach plan that describes how the consortium will integrate research, education and outreach.

f. Narrative Description of the Data Management Objectives of the Consortium (3-5 pages):

It is anticipated that all data should be available for immediate release. (See more details in RFP I Section III Structure of the Research Consortia, subsection on Publication, Data and Intellectual Property for further guidance). Describe the:

- types of data, samples, physical collections, software, and other materials to be produced in the course of the project;
- standards to be used for data and metadata format and content (where existing standards are absent or deemed inadequate, this should be documented along with any proposed solutions or remedies);
- policies for accessing and sharing data, including provisions for appropriate protection of privacy, confidentiality, security, intellectual property, or other rights or requirements;
- policies and provisions for re-use, re-distribution, and the production of derivatives; and

- plans for archiving data, samples, and other research products in a timely manner, and for preservation of access (including submission of essential metadata to the Federal database or nationally recognized repository appropriate for their discipline).

It is essential that provision be made that video data tagged with appropriate information be included in the data submissions. This should be executed to modern high standards. It is desired that these activities draw to the greatest extent possible on existing data management systems.

- g. Narrative Description of the Management Plan for Consortium (3-5 pages): Provide a description of the research management and administrative structure of the research consortium. The Consortium Director must have the capacity to develop and lead a diverse team to fulfill the vision of the Consortium. Key members of the management team must have management experience and qualifications to administer their component of the Consortium. Include:

- a diagram to explain the organizational relationships and reporting structure among the key areas of responsibility;
- members of the Consortium Management Team, including the PI, consortium co-PIs, and steering committee;
- descriptions and explanations of specific roles and areas of responsibility of the lead and partner institutions, co-PIs and key participants;
- a plan for integration across institutions, projects and co-PIs, resolution of potential conflict-of-interest issues, prioritization of consortium activities, data sharing across institutions;
- a description of how the management team will handle issues related to responsibilities for conflict resolution, personnel, safety requirements, subcontracts, reporting requirements, providing needed input to the GRI database and Web site, as well as adherence to contracted research requirements as in US National Science Foundation grants.

- h. Narrative Description of Supplementary Objectives (optional, 3 pages): Describe objectives and strategies for items not specifically called for in prior sections, such as, but not limited to:

- diversity initiatives;
- knowledge and technology transfer;
- ethics; and
- early scientist career development.

5. Facilities, Equipment, Ship Time and Other Resources (1 page): Provide a synopsis of institutional resources that will be available to the Consortium or required to meet the research objectives (dedicated space, access to facilities and instrumentation, faculty and staff positions). Programs of this nature are often supported by the home institutions through elements spanning from joint appointments to matching commitments to

laboratory use. Some institutions view these elements as simply part of their proposal, and others as separate incentives. To be clear, RFP-I is not soliciting such commitments for the GRI, but if they are intrinsic to the content of the proposed work, they should be incorporated in the proposal clearly. In order for GRI, and its reviewers, to assess the scope of a proposed Consortium, all resources (including those from partner organizations) available to the project, must be described in this section. Note that inclusion of voluntary committed cost sharing by academic institutions aimed at gaining a competitive advantage is prohibited. The description should be narrative in nature and must not include any quantifiable financial information.

6. Budget and Budget Justification (See Appendix C for template):
 - a. Provide an annual budget for each of the three years of proposed research. The proposed budget should be consistent with the needs and complexity of the proposed Consortium. The budget and budget justification should reflect start-up activities at the commencement of the Consortium activities, including attending initial coordination and annual review meetings. Funds allocated for research, required facilities including ship time, ROV and AUV time, aircraft time and similar facilities, computing facilities, public education and outreach, and data management areas must be discernible. Overhead charges on the main budget and subcontracts should be no higher than the federally applied overhead rates for the corresponding institutions. No duplication of overhead for subcontracts will be accepted. Administrative support should be provided from the overhead, unless specific exceptions are requested and accepted through the review and contract process. Include a copy of the negotiated indirect cost rate agreement as supporting documentation.
 - b. Submit a separate budget and budget justification (two-page limit) for each participating institution in cases where a sub-award exceeds \$100,000 per year.
 - c. Identify items of equipment costing more than \$10,000. Full justification for the latter is required.
7. References Cited (up to 5 pages): Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. If the document is available electronically, the website address also should be identified. Applicants must be especially careful to follow accepted scholarly practices in providing citations for source materials relied upon when preparing any section of the proposal. This section must include bibliographic citations only and must not be used to provide parenthetical information outside of the 35-page Project Description.
8. Consortium Personnel:
 - a. Biographical sketches (two-page limit per person) are required for all key participants, to include the PI-Director, Co-PIs, Steering Committee members, key faculty and researchers and senior administrative staff attached to the Consortium who would commit to participate in the Consortium governance (e.g. design, program development, and operating provisions impacting ongoing,

management and success of the consortium's proposed efforts). Copies of publications should not be included.

- b. Provide a complete list of Partner Institutions and Project Personnel.
 - c. Provide a complete list of External Advisory Committee Members appointed (if any) and their affiliations.
9. Current and Pending Support (See Appendix D for template): Provide current and pending support information for the PI and co-PIs only, i.e., only those persons listed on the cover page of the proposal. This should include titles, amounts, and amount of time allocated to the effort by all investigators and other key personnel.

B. Optional Information to be submitted to the Research Board (Section 10):

10. Proprietary or privileged information (if applicable). If confidential information in connection with your response to the RFP is provided, then clearly indicate the segments that cannot be made public and why.

Full proposals containing items other than those described in the proposal instructions or exceeding the page limitations will be returned without review.

C. Proposal Formatting

Prior to submission, it is strongly recommended that applicants conduct an administrative review to ensure that proposals comply with the proposal formatting guidelines noted below. It is the applicant's responsibility to ensure that all materials to be included in the application have been properly prepared. Applicants are strongly encouraged to seek appropriate technical support in the creation of electronic files and to review the electronic files prior to submission. Some materials may require scanning and insertion into the file. Discretion should be exercised in the resolution of figures and scanned materials. Applicants should also be aware that while color figures may be included, applications might be printed in black and white for review. Applicants may wish to annotate the figure legend directing the reader to the electronic file if color is an important aspect of the figure. Applicants should utilize the templates provide in the appendix; templates are available for download at <http://www.gulfresearchinitiative.org/request-for-proposals/rfp-i/submission-forms-and-templates/>.

1. Proposal Pagination Instructions

The proposal pages should be numbered in consecutive order.

2. Proposal Margin and Spacing Requirements

The proposal must be clear, readily legible, and conform to the following requirements:

- a. Use one of the following typefaces identified below:
 - Arial, Courier New, or Palatino Linotype at a font size of 10 points or larger;
 - Times New Roman at a font size of 11 points or larger; or
 - Computer Modern family of fonts at a font size of 11 points or larger.

A font size of less than 10 points may be used for mathematical formulas or equations, figure, table or diagram captions and when using a Symbol font to insert Greek letters or special characters. PIs are cautioned, however, that the text must still be readable.

- b. No more than six lines of text within a vertical space of one inch.
- c. Margins, in all directions, must be at least one inch.

These requirements apply to all sections of a proposal, including supplementary documentation.

3. Page Formatting

Since most reviewers will be reviewing proposals electronically, applicants are strongly encouraged to use only a standard, single-column format for the text. Avoid using a two-column format which can cause difficulties when reviewing the document electronically.

While line spacing (single-spaced, double-spaced, etc.) is at the discretion of the applicant, established page limits must be followed.

The guidelines specified above establish the minimum type size requirements; however, applicants are advised that readability is of paramount importance and should take precedence in selection of an appropriate font for use in the proposal. Small type size makes it difficult for reviewers to read the proposal; consequently, the use of small type not in compliance with the above guidelines may be grounds for the Research Board to return the proposal without review. Adherence to type size and line spacing requirements is necessary to ensure that no applicant receives an unfair advantage, by using smaller type or line spacing to provide more text in the proposal.

D. Submission of Proposal to Research Board

The applicant is required to submit LOI materials electronically via a web-based form (<http://gulfresearchinitiative.org/request-for-proposals/rfp-i/submission-forms-and-templates/loi-submission-form/>). Full proposals, including all required documents, must be submitted in a single portable document format (pdf) file via a web-based submission (<http://gulfresearchinitiative.org/request-for-proposals/rfp-i/submission-forms-and-templates/proposal-upload-to-rb/>). **Applications sent in other formats, including multiple files assembled into an integrated PDF unit, or by fax or e-mail will NOT be accepted. Proposals should be saved as LOISubmission#_PILastname.pdf. Full proposals must be submitted to the Consortium for Ocean Leadership on or before 9:00PM EDT, 11 July 2011.**

III. Appendices

A. Cover Page (download here:<http://www.gulfresearchinitiative.org/wp-content/uploads/2011/03/Cover-Page-Template1.pdf>)
Proposal Prepared in Response to Gulf of Mexico Research Initiative
Request for Proposals: Selection of Research Consortia

LOI Submission Number:

Title of the Consortium:

Lead Institution Name and Location:

Consortium Director / Principal Investigator and Contact Information:

Co-Principal Investigators (Lead Investigator(s) at Member Institution of Proposed Consortium) and Contact Information:

Requested Funding Amount:

Duration of Effort:

Proposal Authorization:

TABLE OF PARTNERSHIPS

Consortium Member	Key Personnel*	Research Topic/Goal	Role	Associated Postdoctoral and Graduate Students (if known)*
Lead Institution	Dr. G. Washington	Technology Developments	Coordination & oversight	
Partner Institution A	Dr. A. Lincoln	Technology Developments	Review of existing technology	J. Jones & S. Smith
Partner Institution B	Dr. H. Truman & Dr. R. Nixon	Technology Developments	Lead engineers	2 students TBD
Partner Institution C	Dr. L. Johnson	Technology Developments	Design and execution of field tests	M. Miller

*Participant names are fictitious and are used simply for illustrative purposes.

Annual Budget Template

A budget justification should accompany this template. Please attach additional information as necessary.

Lead Organization:

Start Date:

End Date:

Budget Year:

A. Senior/Key Person

	Prefix	First Name	Last Name	Suffix	Project Role	Base Salary (\$)	Calendar Months	Academic Months	Summary Months	Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
1												
2												
3												
4												
5												
6...												
Total												

Total Senior/Key Person:

Additional Senior/Key Persons:

B. Other Personnel

Number of Personnel	Project Role	Calendar Months	Academic Months	Summary Months	Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
	Post Doctoral Associates						
	Graduate Students						
	Undergraduate Students						
	Secretarial/Clerical						
Total							

Total Other Personnel:

Total Salary, Wage and Fringe Benefits (A + B):

C. Consortium Activities Description

List items and dollar amounts for each item exceeding \$10,000. Submitters are encouraged to clearly describe budgeted items, so as to discern costs associated with research, public education and outreach, and data management areas.

	Equipment	Funds Requested (\$)
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
Total Equipment Cost		
	Travel	
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
Total Travel Cost		
	Participant/Trainee Support Costs	
1		
2		
3		
4		
5		
6		
7		
8		

9		
10		
Total Participant/Trainee Support Costs		
Other Direct Costs		
1	Materials and Supplies	
2	Publication Costs	
3	Consultant Services	
4	ADP/Computer Services	
5	Subawards/Consortium/Contractual Costs	
6	Equipment or Facility Rental/User Fees	
7	Ship, AUV, ROV, and Aircraft Time	
8		
9		
10		
Total Other Direct Costs		
Total Direct Costs (A-C)		

D. Indirect Costs

	Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	Funds Requested (\$)
1				
2				
3				
4				
Total Indirect Costs				

Cognizant Federal Agency (Agency Name, POC Name, and POC Phone Number):

E. Total Direct and Indirect Costs (A-D):

F. Additional Items:

G. Total Funds Requested:

Current and Pending Support

(See Section A.9 for guidance on information to include on this form.)

The following information should be provided for each investigator and other senior personnel. Failure to provide this information may delay consideration of this proposal.

Investigator:	Other funding sources to which this proposal has been/will be submitted.			
Support:	<input type="checkbox"/> Current	<input type="checkbox"/> Pending	<input type="checkbox"/> Submission Planned in Near Future	<input type="checkbox"/> *Transfer of Support
Project/Proposal Title:				
Source of Support:				
Total Award Amount: \$		Total Award Period Covered:		
Location of Project:				
Person-Months Per Year Committed to the Project.		Cal:	Acad:	Sumr:
Support:	<input type="checkbox"/> Current	<input type="checkbox"/> Pending	<input type="checkbox"/> Submission Planned in Near Future	<input type="checkbox"/> *Transfer of Support
Project/Proposal Title:				
Source of Support:				
Total Award Amount: \$		Total Award Period Covered:		
Location of Project:				
Person-Months Per Year Committed to the Project.		Cal:	Acad:	Sumr:
Support:	<input type="checkbox"/> Current	<input type="checkbox"/> Pending	<input type="checkbox"/> Submission Planned in Near Future	<input type="checkbox"/> *Transfer of Support
Project/Proposal Title:				
Source of Support:				
Total Award Amount: \$		Total Award Period Covered:		
Location of Project:				
Person-Months Per Year Committed to the Project.		Cal:	Acad:	Sumr:
Support:	<input type="checkbox"/> Current	<input type="checkbox"/> Pending	<input type="checkbox"/> Submission Planned in Near Future	<input type="checkbox"/> *Transfer of Support
Project/Proposal Title:				
Source of Support:				
Total Award Amount: \$		Total Award Period Covered:		
Location of Project:				
Person-Months Per Year Committed to the Project.		Cal:	Acad:	Sumr:
Support:	<input type="checkbox"/> Current	<input type="checkbox"/> Pending	<input type="checkbox"/> Submission Planned in Near Future	<input type="checkbox"/> *Transfer of Support
Project/Proposal Title:				
Source of Support:				
Total Award Amount: \$		Total Award Period Covered:		
Location of Project:				
Person-Months Per Year Committed to the Project.		Cal:	Acad:	Sumr:
*If this project has previously been funded by another source, please list and furnish information for immediately preceding funding period.				

USE ADDITIONAL SHEETS AS NECESSARY