



Request for Proposals for 2015-2017 GoMRI Research Consortia  
(RFP-IV)

Release Date: November 15, 2013

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\*Links have been provided throughout this RFP, as important reference material for all applicants. Please review all links when preparing your preliminary and full proposals.

## I. Introduction and Description

The [Gulf of Mexico Research Initiative](http://gulfresearchinitiative.org/about-gomri/gri-history/) (GoMRI) was created on 24 May 2010, when, following the Deepwater Horizon incident, BP committed \$500 million over an anticipated 10-year period to create an independent research program to study the effect, and the potential associated impact, of hydrocarbon releases on the environment and public health, as well as to develop improved spill mitigation, oil detection, characterization and remediation technologies and to be conducted at research institutions primarily in the United States (US) Gulf Coast States. To learn more about the history and structure of the program, please visit: <http://gulfresearchinitiative.org/about-gomri/gri-history/>.

The GoMRI is an independent scientific research program. The Research Board is the decision-making and oversight body regarding research conducted pursuant to the GoMRI and consists of [twenty members](#). The program is governed by the [Master Research Agreement \(MRA\)](#). Any investigator or co-investigator and their research institution that receive funding, directly or indirectly, in whole or in part, under the GoMRI are subject to and must comply with the applicable terms and conditions of the GoMRI MRA.

This RFP-IV seeks proposals from research consortia, defined as having four or more partnering institutions. All proposals submitted in response to RFP-IV will be treated as new efforts and consideration will be given to proposals that illustrate research knowledge relevant to the Gulf. RFP-IV will fund activities for three years. The total funds available for distribution through RFP-IV will be up to \$35 million per year. Funding for each approved proposal is expected to be between \$1 million (minimum) and \$7.5 million (maximum) per year per proposal. Learn more about past funding opportunities here: <http://www.gulfresearchinitiative.org/request-for-proposals/>. To learn more about currently funded GoMRI research, please review: <http://research.gulfresearchinitiative.org/>.

This RFP-IV calls for integrated proposals with dynamic and engaged leadership under the following themes:

1. 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.
2. Chemical evolution and biological degradation of the petroleum/dispersant system and subsequent interaction with coastal, open-ocean, and deep-water ecosystems.
3. 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.
4. Technology developments for improved response, mitigation, detection, characterization, and remediation associated with oil spills and gas releases.
5. Impact of oil spills on public health including behavioral, socioeconomic, environmental risk assessment, community capacity, and other population health considerations and issues.

To learn more about the development of the research themes, visit:

<http://gulfresearchinitiative.org/about-gomri/gri-history/>. Proposals may address one or any combination of themes. The proposal must provide an estimate of the percentage of effort devoted to each theme, rounded to 5%. Each proposal should clearly describe how the proposed research will serve to accomplish the long-term goals of the GoMRI. The GoMRI Research Board encourages potential applicants to consider focusing on their strengths, rather than attempting to cover all research themes included in the RFP. Potential consortia should focus on the quality of the proposed research, rather than quantity, and demonstrate clear knowledge of advances in the field to date.

Requests for clarification of RFP-IV must be submitted via the GoMRI website: <http://gulfresearchinitiative.org/faq-rfpIV/>. Questions will not be accepted via phone or direct email to any GoMRI-affiliated group. Please review the [Frequently Asked Questions](#) (FAQ) posted on the website before submitting a question. This will be updated regularly with all responses to submitted questions. The deadline for submission of questions is May 19, 2014 at 5:00pm Eastern Time. Any additional pertinent information, including clarification, addition, deletions or other changes to the RFP, will be posted on the [GoMRI website](#) and forwarded to all prospective Consortium Directors (serving as the Principal Investigator (PI)) as identified by their submission of a preliminary proposal. Any changes to RFP-IV will be made prior to two weeks before the submission deadline. Prospective Consortium Directors will be the single point of contact for all correspondence.

The prospective Consortium Director shall not take advantage of any apparent errors or omissions in RFP-IV. In the event that any errors or omissions are discovered, applicants shall immediately notify the GoMRI [Chief Scientific Officer](#) (CSO) at [gomriquestions@aibs.org](mailto:gomriquestions@aibs.org).

#### **General Information:**

##### **1) Funding:**

Gulf of Mexico Research Initiative, Grants Unit  
Consortium for Ocean Leadership  
Attn: GoMRI Grants Unit  
1201 New York Ave NW, 4<sup>th</sup> Floor  
Washington, DC 20005  
(202) 232-3900, fax- (202) 332-8887, [info@gulfresearchinitiative.org](mailto:info@gulfresearchinitiative.org)

##### **2) Research Opportunity Number:** RFP-IV

##### **3) Preliminary Proposal Submission Date:** 15 January 2014

##### **4) Full Proposal Submission Date:** 2 June 2014

#### **II. Research Opportunity**

Each research program shall be led by a Consortium Director whose home institution will enter into a grant agreement on behalf of GoMRI, as well as into subgrant agreements with home institutions of co-Principal Investigators (co-PIs). The Consortium Director and her or his home institution (the "Lead Research Institution") shall have various responsibilities as outlined in the [GoMRI MRA](#) (see for example duties described in sections 4.4 and 4.5 of the MRA) and as specified by the Research Board, which shall include actively managing the implementation of research proposals funded under the GoMRI.

The primary interface for the research program and reporting of results will be with the [CSO](#), who serves as liaison to the Research Board.

#### **Research Consortia**

The essential criterion for selection of Research Consortia will be the significance of the proposed work within the GoMRI research themes and its potential to address the goals of the GoMRI, as outlined in Section I of this RFP. Each Research Consortium shall define its primary mission in terms of one of these areas of research or any combination of these areas of research. There will be no advantage given to multiple- or single-theme proposals and the review process will be adjusted to the number of themes addressed. Each Research Consortium will carry out an innovative program of research that combines state-of-the-art research techniques with deep knowledge of the Gulf of Mexico. A Research

Consortium will involve four or more universities, institutions, or independent organizations. Combinations of departments, centers, or institutes located at one university do not constitute a Research Consortium for the purposes of this RFP. Each Consortium Director may submit only one proposal in this function. Individuals can be involved in up to three proposals; in each proposal, a clear description should be included to explain how the proposed work is complementary, not duplicative, of other proposed efforts and how the participant will budget his or her time.

Funds to conduct these studies are to be distributed to non-profit academic and research institutions primarily in Alabama, Florida, Louisiana, Mississippi, and Texas, which have formed or may form partnerships with research institutions based outside of the Gulf Coast states, as appropriate to the scientific research success of the GoMRI.

A Research Consortium proposal must include:

- compelling science that is clearly tied to the GoMRI research;
- a clear description of all sub-projects within the program and the key personnel involved in them;
- a specific listing of the institutions and key individuals who will be participating in the Consortium;
- a description of the allocation of resources among the Consortium members and sub-projects of the Consortium; and
- designation of the percentage (rounded to 5%) of effort devoted to each of the themes covered by the proposal.

In preparing a proposal, proposers should assume that reviewers will not have access to previously submitted versions of the proposal. Proposals should clearly highlight how the proposed work builds on previous work. To learn more about currently funded GoMRI research, please review:

<http://research.gulfresearchinitiative.org/>.

### **III. Award Information**

Each grant will be awarded for a period not to exceed three years, and annual continuation of funding will be subject to acceptable progress as judged by the Research Board as well as satisfaction of such additional requirements as are set forth in the GoMRI MRA. The Research Board will reserve the right to fund only selected parts of any given research proposal and / or to require modifications to the proposed work, personnel, and budget of any proposal. Funding will not be in the form of endowments to home institutions of the investigators. To learn more about operating expenses supported by GoMRI, please visit: <http://gulfresearchinitiative.org/about-gomri/faqs/>. The level of funding for each project is expected to be different, concomitant with the requirements of the research to be performed. It should be noted that the RFP and information in the completed proposal, and subsequent modifications to the proposal as requested by the Research Board, shall form the basis of any award that may ensue.

As described in the GoMRI MRA, the Grants Unit will enter into grant agreements with the lead investigator's home institution. The Consortium Director shall execute the grant agreement on behalf of all co-PIs, and shall then enter into sub-grant agreements with co-PIs. Both the grant and sub-grant agreements shall incorporate the applicable terms of the GoMRI MRA.

The funds distributed by GoMRI shall not be used by any research institution, Consortium Director, or co-PI for the acquisition or construction of physical infrastructure (including, but not limited to ships, autonomous underwater vehicles, or laboratories), except where specifically authorized by the Research Board pursuant to a grant or annual continuation funding under such grant.

No GoMRI entity, including any organization providing administrative support to the GoMRI, shall be under any obligation to provide funding to any specific proposal submitted, and shall not be held liable for any expense incurred in preparation or submittal of any proposal or any subsequent discussion and / or negotiations.

The GoMRI will coordinate with the Consortium Director(s) to fulfill reporting requirements, such as quarterly and annual financial and activities reports ([Financial Report Template](#), [Activities Report Template](#), [Narrative Report Template](#)) and to provide the Research Board with annual planning updates and requests for continuation of funds. The GoMRI utilizes an accounting system to process invoices and to prepare quarterly updates and an annual report of expenditures to be provided to the Research Board. The GoMRI maintains full records of all Consortium Directors and co-PIs, publications, presentations, reports, and activities of the project and makes those available to the Research Board. The GoMRI maintains a website to make such information appropriately available to the public, [www.gulfresearchinitiative.org](http://www.gulfresearchinitiative.org).

By applying in response to this RFP under the GoMRI, each Consortium Director, research institution and co-PI agrees to be bound by all terms and conditions of the [GoMRI MRA](#), [the GoMRI Intellectual Property and Publications Policy](#), and the GoMRI data policies. The applicable terms of these documents are not negotiable; they may be updated, but major changes are unlikely.

#### **IV. Eligibility Information**

The lead institution, which will receive the grant, must be a US academic or non-profit research institution (the Lead Research Institution). GoMRI research shall be led by Consortium Directors primarily in the Gulf Coast States, however, investigators from institutions outside the Gulf Coast States are not prohibited from applying as Consortium Director or co-PI. Projects may include internationally-based co-PIs.

The collaborating members or institutions participating in each Consortium should bring world-class capabilities into the Consortium and may be drawn as needed from US and foreign universities and government laboratories, Federally Funded Research and Development Centers, and other US and non-US institutions with unique, world-class capabilities. An investigator may have an existing relationship, or may find it advantageous to enter into a new relationship, with a private or for-profit entity. Individuals at private or for-profit entities can contribute in the form of products, services, and expertise that will be crucial to the delivery of the research objectives. As with all participants in the GoMRI, any activities by government, private or for-profit entities will be subject to the terms of the GoMRI MRA.

An individual can be the Consortium Director of only one submitted proposal and only involved in up to three submitted proposals. An individual may be involved in a maximum of three proposals in any capacity (e.g, PI, co-PI, collaborator, etc.). If an individual appears on multiple proposals, this should be clearly noted in the List of Participants and in Current and Pending Support. Should an individual appear on four or more proposals, all proposals by the individual will be disqualified. It is the responsibility of the submitters to confirm that each member of the entire team is within the eligibility guidelines.

Each proposal must be a stand-alone document without possibility of linked proposals.

#### **V. Evaluation Information**

Guidance regarding evaluation of the proposals is as follows, with Scientific Merit a primary consideration. Proposals that address multiple themes will be evaluated, according the following evaluation criteria, for each theme addressed according to the estimated percentage effort in each theme (rounded to 5%).

**Scientific Merit (65%)**

- Scope, quality, and potential for fundamentally significant results of the proposed research
- Project plan describing integration among the sub-projects
- Value of the anticipated research outcomes for contributing to the major research themes of the GoMRI

**Qualifications (15%)**

- Expertise of Consortia Director / PI and co-PIs in the relevant research domains and in the delivery of focused research
- A demonstrated record of scientific achievement in the relevant science
- Realistic research timeline and availability of appropriate facilities for the duration of the project
- Knowledge of the Gulf of Mexico region

**Public Education and Outreach (5%)**

- Scope, quality, and potential of the proposed public education and outreach activities
- A demonstrated record of achievement in public education and outreach activities
- Effective collaboration with professional scientific research activities

**Management (15%)**

- Governance and communication structure proposed to support effective exchange of ideas, data and results among the sub-projects in the collaborating institutions to ensure cross-fertilization
- A final research product that will be more than the sum of the results of the individual sub-project policies, rules and regulations proposed, to ensure efficient research operations
- Data management policies, favorably including a strong record of previous submission of data to a public database (where applicable, of GoMRI data to the Gulf of Mexico Research Initiative Information & Data Cooperative, GRIIDC)
- Compliance with US research requirements (e.g., biosafety, animal research, ethics in science, conflicts of interest, etc) and necessary safety training

**Review Process**

Consortia will be chosen for funding through a competitive peer review of the proposals submitted in response to RFP-IV. To ensure scientific integrity, GoMRI uses National Science Board peer evaluation protocols to select funded research, in a manner similar to the National Science Foundation. Independent reviews are performed by scientific peers, for whom conflicts are fully vetted; the science peers evaluate the proposals and provide evaluations and recommendations to the Research Board. BP and the Gulf of Mexico Alliance have no role in the peer review process or selection of awards. The peer-review process and selection of funded projects will be carried out under the direction of the GoMRI Research Board, subject to the terms of the GoMRI MRA.

The Research Board may elect to award a grant for any, all, or none of the proposed activities in any given proposal or it may request modification of the proposal. Decision to make an award is entirely

held by the Research Board within the scope of RFP-IV and the governing documents of the GoMRI, including the GoMRI MRA.

## VI. Application and Submission Information

In order to be considered for funding under the Gulf of Mexico Research Initiative RFP-IV, proposing researchers must submit:

1. a [preliminary proposal](#), and
2. a [full proposal](#).

Required proposal templates and forms are located here: <http://gulfresearchinitiative.org/request-for-proposals/rfp-iv/rfp-iv-submission-forms-templates/>. When preparing materials for submission, applicants are encouraged to review the [FAQs](#). Any additional questions can be submitted here: <http://gulfresearchinitiative.org/faq-rfpIV/>. The deadline to submit questions on RFP-IV is May 19, 2014 at 5:00pm Eastern time. No new questions will be addressed after this time.

### 1. Preliminary Proposal

The pre-proposal is a required submission in advance of submission of a full proposal. **All submitted pre-proposals will be reviewed and applicants will receive an Encourage / Discourage decision.** Approximately 50 applicants will be encouraged to submit a full proposal; all others may choose to do so.

Pre-proposals must be submitted to the GoMRI on or before January 15, 2014 at 5:00pm Eastern time, via a web-based form at: <http://gulfresearchinitiative.org/request-for-proposals/rfp-iv/rfp-iv-submission-forms-templates/rfp-iv-pre-proposal-submission-form/>; all applicants will receive an automatic confirmation of submission. After the deadline, the web-based form will no longer be active. The pre-proposal should clearly and concisely address all the objectives noted in the RFP. The pre-proposal must follow the format outlined and all instructions detailed below.

### A. Required Sections of the Preliminary Proposal

The pre-proposal must contain the following elements:

1. Cover sheet (1 page limit) (see webpage for required template)
  - a. Signature
  - b. Approximate percentage level of effort in each theme (rounded to 5%)
2. Consortium Summary (1 page limit)
3. Consortium Description (8 page limit), including:
  - a. Research Project (4 page limit, including figures):
    - i. Objectives
    - ii. Background
    - iii. Hypotheses
    - iv. Research Approach
  - b. Participants (2 page limit): Must contain a list of the PI, all co-PI(s), and sub-award lead senior investigators. The list may contain other senior personnel, but should not list undergraduate or graduate students, technicians, or other participants.
    - i. Key project personnel
    - ii. Institutional affiliation



- iii. Description of that person's role(s) in the project
  - c. Management (1 page limit): Must include an overview description of proposed consortium management.
  - d. Outreach and Education (1 page limit)
4. References Cited (3 page limit)
5. Biographical Sketches (0.5 page limit for each person, similar to National Science Foundation guidelines) for PI, co-PI(s), and sub-award lead senior investigator. Inclusion of a biographical sketch for every individual included in the list of participants is not required, but if a biographical sketch is included, the individual **MUST** appear on the list of participants.

When preparing a pre-proposal for this competition, applicants are encouraged to review the GoMRI website for updated information and answers to frequently asked questions: <http://gulfresearchinitiative.org/faq-rfpIV/>. The pre-proposal must be submitted on or before January 15, 2014 at 5:00pm Eastern time.

## **B. Preliminary Proposal Formatting**

Prior to submission, it is strongly recommended that applicants conduct an administrative review to ensure that a pre-proposal complies with the 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 required templates provided for download at: <http://gulfresearchinitiative.org/request-for-proposals/rfp-iv/rfp-iv-submission-forms-templates/>.

The pre-proposal will need to be uploaded as a single Portable Document Format (PDF) file for submission.

### 1. Pre-proposal Pagination Instructions

The pre-proposal pages should be numbered in consecutive order.

### 2. Required Sections of the Pre-Proposal

The pre-proposal must include the required sections, in the given order. These sections, and subsections, must be clearly labeled as described in Section VI of this document. **Pre-proposals not collated with the required sections or in the proper order may be returned without review.**

### 3. Pre-proposal Margin and Spacing Requirements

The pre-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.

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 proposal to be returned 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.

These requirements apply to all sections of a pre-proposal.

#### 4. Page Formatting

Since most reviewers will be reviewing pre-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. Additionally, the use of landscape (i.e., sideways) page orientation should be avoided if possible in the Project Description, and is not allowed for the templates provided.

## 2. Full Proposal

The full proposal should clearly and concisely address all of the objectives noted in the RFP. The proposal must follow the format outlined and all instructions detailed below. Full proposals must be submitted to the GoMRI, for final consideration by the GoMRI Research Board, on or before June 2, 2014 at 5:00pm Eastern time via web form: <http://gulfresearchinitiative.org/request-for-proposals/rfp-iv/rfp-iv-submission-forms-templates/rfp-iv-full-proposal-submission-form/>. Applicants are strongly encouraged to seek guidance from their institutional contracting officers early in the proposal development process.

### A. Required Sections of the Full Proposal

The full proposal must include the main components described in Sections 1-9, below. Page limits are indicated where necessary. **Full proposals containing items other than those described in the proposal instructions, missing required sections, exceeding the page limitations, or that do not address the research theme(s) will be returned without review.** It is required that proposers format their proposal in the following order and clearly label each section and subsection:

1. Cover Sheet (1 page) (see webpage for required template)
  - a. Pre-proposal Submission Number

- b. Consortium Title
  - c. Applicable Theme(s), with percentage effort in each theme (rounded to 5%)
  - d. Institution Name and Location
  - e. Consortium Director Information (The registered name and address of the Principal Investigator submitting the proposal shall be clearly indicated)
  - f. Co-PI Information (if any)
  - g. Budget and Duration Information
  - h. Proposal Authorization (Signatures, including digital signatures, of those persons duly authorized to sign such documentation on behalf of the Lead Research Institution are required; the names and titles shall be typed beneath their usual signatures)
2. Project Summary (2 pages). The summary should be written in the third person, be informative to persons working in the same or related fields, and be understandable to a scientifically or technically literate lay reader. Avoid jargon. Provide a concise description of the project including research objectives and goals. Describe how the proposed project will address any one, or combination, of the themes put forth in Section I of RFP-IV. Describe the nature of the project and articulate the potential scientific and societal impact of the project if funded.
  3. Table of Contents (no page limit)
  4. Narrative Project Description, including tables and illustrations (35 pages total). The narrative description shall indicate the interest, approach and qualifications of the research institution.
    - a. Research Objectives and Goals of the Consortium / Project: Provide a clear and compelling statement of the:
      - scientific questions to be addressed;
      - milestones expected to be achieved;
      - ultimate goals of the research project;
      - timelines for all activities; and
      - combination of 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 dispersants.
    - b. Approach: Provide a detailed description of the proposed approach for carrying out the research. The approach should:
      - emphasize innovation and best practices;
      - specify the role(s) of key personnel within the research project, and the number of postdoctoral researchers and graduate students involved (see website for template); and
      - provide sufficient detail to allow assessment of the scientific merit of the proposal.
    - c. Qualifications: Provide:

- a synopsis of key research accomplishments by the Consortium Director and co-PIs that establishes the feasibility of the project and demonstrates the track records of the Consortium Director and co-PIs ;
- a description of how graduate student and postdoctoral career mentoring will be ensured; and
- metrics of progress to be used in evaluating personnel involved in the project, to guide internal management of the Research Consortium / Project as led by the Consortium Director. If appropriate, the metrics described in the proposal could also be used by the GoMRI Research Board in evaluation of the research project.

d. Data Management Requirements:

All data should be made available with minimal time delay, through submission to the GoMRI data archive (GRIIDC) for the advancement of knowledge and utility to researchers, agencies and others. 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 and timelines for archiving data, samples, and other research products with minimal time delay, and for submitting data and metadata to GRIIDC and, if appropriate, a nationally recognized repository for the specific type of data.

It is essential that provision be made that video and satellite data tagged with appropriate information be included in the data submissions, if appropriate. 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.

Each Consortium is required to submit necessary links to these data submissions as part of their reporting activities. All Consortium Directors and co-PIs are required to adhere to all GoMRI data policies.

It is emphasized that a strong commitment to data management and sharing is required and that Consortia should plan for the designation of a Data Manager who will participate in the GRIIDC Advisory Committee. Consortia, following award, will be required to develop a comprehensive data management plan.

- e. Public Education and Outreach Objectives: Describe the public education and outreach objectives and outline strategies for achieving them. Provide an education and outreach plan that describes how research will be integrated with education and outreach efforts. Consortia should consider budgeting specific time to direct these efforts.

- f. Management Plan for Research Consortia: Provide a description of a proactive research management and administrative structure of the research consortium ensuring an effective exchange of ideas, data and results among the sub-projects in the collaborating institutions to ensure cross-fertilization and a final research product that will be more than the sum of the results of the individual sub-projects. Specific positions or roles may be named, for example but not limited to:
- i. Deputy PI;
  - ii. Program Manager;
  - iii. Advisory Panel;
  - iv. Data Manager; and
  - v. Outreach Coordinator.

Include a statement of how the proposed team will comply with the standards set forth in the National Academy of Sciences publication, entitled *On Being A Scientist: Responsible Conduct in Research* (2009), as called for by the GoMRI MRA. The GoMRI Research Board has highlighted this section as critical, based on lessons learned to date.

- g. Supplementary Objectives (optional): 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 detailed description of institutional resources that will be available or required to meet the research objectives (dedicated space, access to facilities and instrumentation, faculty and staff positions). The source and availability of reference materials (e.g., oil and dispersants) should be clearly identified. All proposals involving analyses of samples to determine the presence and concentrations of oil compounds should make provisions in their budget to purchase an adequate supply of National Institute of Standards and Technology Standard Reference Material 2779 "Gulf of Mexico Crude Oil" to use in their Quality Assurance / Quality Control procedures. For research concerned with fates and effects of oil without or with dispersants (or similar experiments), those submitting proposals should be aware that the BP storage facility has a limited, unguaranteed supply of oils from the Gulf of Mexico during the Deepwater Horizon Mississippi Canyon Block 252 event to distribute for research. Other sources of petroleum (gas and oil) may be needed to conduct proposed research.

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-IV is not soliciting such commitments for the GoMRI, but if they are intrinsic to the content of the proposed work, they should be clearly incorporated in the proposal. Investigators are expected to take full advantage of existing technology and infrastructure when already available. In order for GoMRI and its reviewers to assess the scope of a proposed project, all resources available to the project must be described in this

section. This plan should include a schedule framework and an explanation of the plan for contingencies should costs change. 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 webpage for required template):
  - a. Provide an annual budget for each of the one to three years of proposed research, as well as an overview, summary budget. The proposed budget should be consistent with the needs and complexity of the proposed project. The GoMRI allows the possibility to negotiate a 90-day pre-award period. Proposers / Awardees should contact their Office of Sponsored Programs (or similar office) to determine the conditions under which pre-award spending is allowed at their institution. GoMRI funds shall not be used by any Research Consortium, research institution, or co-investigator for the acquisition or construction of physical infrastructure (including, but not limited to ships, autonomous underwater vehicles, or laboratories), except where specifically authorized by the Research Board pursuant to a grant or annual continuation under such grant. Allocated research funds must be clearly discernible, including those for:
    - required facilities including ship time, Remotely Operated Vehicle and Autonomous Underwater Vehicle time;
    - aircraft time and similar facilities;
    - sampling technology;
    - computing facilities;
    - access to existing long-term monitoring sites or other research facilities located in the Gulf of Mexico;
    - reasonable and appropriate costs for development of new, special technology;
    - participation in designated annual GoMRI meetings;
    - public education and outreach; and
    - data management areas, including data submission.

Payroll and personnel reimbursement policies of the home institutions of each research participant will be followed for all participants.

Overhead charges should be no higher than the federally applied overhead rates for corresponding institutions. Overhead for subcontracts must follow the institution's guidelines that have been federally approved. 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 annual budget (see webpage for Annual Budget Template) and budget justification (2-page limit for each partner institution to describe their total requested budget) for each participating institution with a co-PI and for any subcontracts with a sub-award exceeding \$100,000 per year.

- c. Identify and fully justify items of equipment costing more than \$10,000. Full justification is required. GoMRI funds may only be used for Capital Expenditures to the extent that the investigator was not able to obtain access to the required capital equipment through other collaborations or partnerships, and such funding has been specifically approved by the Research Board under an approved grant or annual continuation of funding under such grant.
7. References Cited (5 pages): Please follow the *Science* Reference Style, which includes title, for citations: <http://www.sciencemag.org/site/feature/contribinfo/prep/res/refs.xhtml#general>. 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. Personnel:

Consortium Directors serve as the sole PI. The Consortium Director may draw appropriate talent from partnering institutions and organizations. Personnel from any of the consortium institutions should be reimbursed appropriately for their time commitment to the research program based on the salary structures at their home institutions. The research that they lead will be open in nature and will include work by undergraduate students, graduate students, and postdoctoral research associates as appropriate.

All research staff conducting activities financed, directly or indirectly, in whole or in part, through the GoMRI, including Consortium Director, co-PIs, undergraduate students, graduate students, and postdoctoral research associates, are subject to and must comply with the terms of the GoMRI MRA, including the requirement that all activities are to be carried out under professional standards of responsible conduct in research (e.g., as defined by the best practices outlined and described in the U.S. National Academy of Sciences "[On Being a Scientist: A Guide to Responsible Conduct in Research. Third Edition](#)" (2009), National Academies Press).

  - a. Biographical sketches (2-page limit per person) must be provided for the Consortium Director and co-PIs only. Copies of publications should not be included. There is not a standard format or template for the biographical sketches of key personnel. Please include information as you deem appropriate, within the two-page limit. **Please note:** the use of material previously provided to other funding opportunities is appropriate, but must be only 2 pages in length.
  - b. List of relevant publications by Consortium Director (2 page limit).
  - c. Provide a complete list of partner institutions and associated project personnel (1 page limit).
9. Current and Pending Support (See webpage for required template): Provide current and pending support information for the Consortium Director and co-PIs only. This should include titles, amounts, funding source, duration of the award, and amount of time allocated to the effort.
10. Previous Funding Certification: Applicants who have received previous GoMRI funding (Block Grant, RFP-I, -II and/or -III) must provide a statement that clearly demonstrates that the applicant is in compliance with GoMRI's data policies at the time of submission of the full proposal.

Inclusion of personnel, facilities, equipment, vessels, experimental and standards materials and other resources in the proposal is considered verification that all are available; evidence to the contrary may lead to return without review.

#### **B. Optional Statement on Proprietary Information** (no more than 1 page):

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.

To the extent that any home institution of any Consortium Director or co-PI submitting a proposal in response to this RFP-IV is restricted by law from agreeing to any applicable MRA provision, including, but not limited to the MRA Section 12 (Indemnities), Section 15 (Dispute Resolution) or the IP and Publications Policy attached as Appendix 3 to the MRA, the Proposal shall indicate which provisions the Consortium Director's or co-PI's home institution objects to, as well as the specific legal basis for any such objection.

**Full proposals containing items other than those described in the proposal instructions, missing required sections, or exceeding the page limitations will be returned without review.** The format of proposals responding to RFP-IV does not allow for "letters of support/collaboration." Proposals responding to RFP-IV are required to set forth, in the body of the proposal, the arrangements or details of collaborations. If the collaboration includes funding, the budget for collaboration and justification should be explained in the budget section of the proposal as appropriate.

GoMRI recognizes that as part of their own internal procedures, institutions may require letters of support or collaboration of their collaborators.

#### **C. Proposal Formatting**

Prior to submission, applicants should strongly consider conducting an administrative review to ensure that a proposal complies with the proposal formatting guidelines noted below. Ensuring that all materials to be included in the application have been properly prepared is the applicant's responsibility. Following the full proposal deadline, an administrative review will be conducted for all proposals. If a proposal is deemed to violate the administrative guidelines, it will be returned without review. 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 required templates provided for download at: <http://gulfresearchinitiative.org/request-for-proposals/rfp-iv/rfp-iv-submission-forms-templates/>.

The proposal will need to be uploaded as a single PDF file for submission. In order to insert or merge multiple PDF templates with the same form fields (the Current and Pending Template, for example) into your proposal, you will need to flatten the form fields of each template after you have completed it. To do this in Adobe Reader, print the file to the PDF driver and re-save. In Adobe Acrobat, choose Flatten Form Fields under the Advanced Tab, PDF Optimizer, Discard Objects.

##### 1. Proposal Pagination Instructions



The proposal pages should be numbered in consecutive order.

## 2. Required Sections of the Full Proposal

The proposal must include the required sections, in the given order. These sections, and subsections, must be clearly labeled as described in Section III of this document. **Proposals not collated with the required sections or in the proper order will be returned without review.**

## 3. Proposal Margin and Spacing Requirements

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

- b. 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.

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 proposal to be returned 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.

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

## 4. 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. While line spacing (single-spaced, double-spaced, etc.) is at the discretion of the applicant, established page limits must be followed. Additionally, the use of landscape (i.e., sideways) page orientation should be avoided if possible in the Project Description, and is not allowed for the templates provided.

### **D. Submission of Proposal to GoMRI Administrative Unit**

The applicant is required to submit pre-proposal materials electronically via a web-based form:

<http://gulfresearchinitiative.org/request-for-proposals/rfp-iv/rfp-iv-submission-forms-templates/rfp-iv-pre-proposal-submission-form/>. **Pre-proposals should be saved as: RFP-IV\_PI Lastname.pdf. Pre-**

proposals must be submitted as a single PDF file on or before January 15, 2014 at 5:00pm Eastern time.

Full proposals, including all required documents, must be submitted in a single PDF file via a web-based submission: <http://gulfresearchinitiative.org/request-for-proposals/rfp-iv/rfp-iv-submission-forms-templates/rfp-iv-full-proposal-submission-form/>. 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: PreProposalSubmission#\_PIlastname.pdf.

Full proposals must be submitted on or before June 2, 2014 at 5:00pm Eastern time.

### VII. Significant Dates and Times

- **April 1, 2013** - Save the date announcement
- **November 15, 2013** – RFP-IV release
- **January 15, 2014** – Pre-proposal deadline
- **January 16–March 17, 2014** – Pre-proposal review and feedback
- **June 2, 2014** – Full proposal deadline
- **November 14, 2014** – Award announcement
- **January 1, 2015** – Award start date

### VIII. Acronyms

|        |   |
|--------|---|
| co-PI  | co-Principal Investigator   |
| CSO    | Chief Scientific Officer  |
| FAQ    | Frequently Asked Question   |
| GoMRI  | Gulf of Mexico Research Initiative                                  |
| GRIIDC | Gulf of Mexico Research Initiative Information and Data Cooperative |
| MRA    | Master Research Agreement   |
| PDF    | Portable Document Format  |
| PI     | Principal Investigator  |
| RFP    | Request for Proposals   |
| US     | United States   |

### IX. Links\*

|                                    |   |
|------------------------------------|---|
| Gulf of Mexico Research Initiative | <a href="http://www.gulfresearchinitiative.org">www.gulfresearchinitiative.org</a>  |
| GoMRI Research Board               | <a href="http://gulfresearchinitiative.org/gri-research-board/">http://gulfresearchinitiative.org/gri-research-board/</a>                                       |
| Master Research Agreement          | <a href="http://gulfresearchinitiative.org/about-gomri/master-research-agreement/">http://gulfresearchinitiative.org/about-gomri/master-research-agreement/</a> |
| GoMRI Research Themes              | <a href="http://gulfresearchinitiative.org/about-gomri/gri-history/">http://gulfresearchinitiative.org/about-gomri/gri-history/</a>                             |
| GoMRI General FAQs                 | <a href="http://gulfresearchinitiative.org/about-gomri/faqs/">http://gulfresearchinitiative.org/about-gomri/faqs/</a>   |

|  |   |
|--|---|
| Past RFPs  | <a href="http://gulfresearchinitiative.org/request-for-proposals/">http://gulfresearchinitiative.org/request-for-proposals/</a>   |
| RFP-IV   | <a href="http://gulfresearchinitiative.org/request-for-proposals/rfp-iv/">http://gulfresearchinitiative.org/request-for-proposals/rfp-iv/</a>   |
| RFP-IV FAQs  | <a href="http://gulfresearchinitiative.org/faq-rfpIV/">http://gulfresearchinitiative.org/faq-rfpIV/</a>   |
| RFP-IV Required forms and templates  | <a href="http://gulfresearchinitiative.org/request-for-proposals/rfp-iv/rfp-iv-submission-forms-templates/">http://gulfresearchinitiative.org/request-for-proposals/rfp-iv/rfp-iv-submission-forms-templates/</a>   |
| Science Reference Style  | <a href="http://www.sciencemag.org/site/feature/contribinfo/prep/res/refs.xhtml#general">http://www.sciencemag.org/site/feature/contribinfo/prep/res/refs.xhtml#general</a>   |
| On Being a Scientist: A guide to Responsible Conduct in Research 3 <sup>rd</sup> Ed. | <a href="http://www.nap.edu/catalog.php?record_id=12192">http://www.nap.edu/catalog.php?record_id=12192</a>   |
| RFP-IV Pre-Proposal Submission   | <a href="http://gulfresearchinitiative.org/request-for-proposals/rfp-iv/rfp-iv-submission-forms-templates/rfp-iv-pre-proposal-submission-form/">http://gulfresearchinitiative.org/request-for-proposals/rfp-iv/rfp-iv-submission-forms-templates/rfp-iv-pre-proposal-submission-form/</a>   |
| RFP-IV Proposal Submission   | <a href="http://gulfresearchinitiative.org/request-for-proposals/rfp-iv/rfp-iv-submission-forms-templates/rfp-iv-full-proposal-submission-form/">http://gulfresearchinitiative.org/request-for-proposals/rfp-iv/rfp-iv-submission-forms-templates/rfp-iv-full-proposal-submission-form/</a> |

\*Links have been provided throughout this RFP, as reference material for all applicants. Please review all links when preparing your preliminary and full proposals.