



University of Guam Sea Grant **REQUEST FOR PROPOSALS**

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| Program Title | Master's Thesis Research Supplemental Grants in Coastal Community Development (2017-2018) |
| Duration | One year (12 months from date of final UOG signature) |
| Award | Up to \$10,000 |
| Due Date | Wednesday, May 10, 2017 by 5:00 p.m. Chamorro Standard Time |

I. FUNDING OPPORTUNITY DESCRIPTION

A. Program Goals

University of Guam Sea Grant (UOGSG) is a partnership between the federal government's National Oceanic and Atmospheric Administration (NOAA) and the University of Guam. The National Sea Grant College Program "enhances the practical use and conservation of coastal and marine resources in order to create a sustainable economy and environment."

UOGSG's program integrates and applies research, extension, and education activities that sustain and develop island environments while integrating the knowledge and culture of the island's people. Sea Grant programs use scientifically accurate data and research to produce trustworthy, accessible educational materials and activities targeting coastal users and policy makers. Put most simply, extension activities bring science to the people to help them solve real world problems.

UOGSG receives funds from NOAA's Coastal Community Development (CCD) initiative, which "provides coastal user groups and decision-makers with the knowledge and tools needed to make sound, sustainable land use and coastal resource decisions."

This funding provides grant and research management experience to emerging scientific professionals, with the larger goal of supporting research that has practical value to Guam.

B. RFP Goal

UOGSG CCD-funded research projects should enhance the knowledge and capacity of Guam *coastal users and coastal user groups*, with the long-term goal of equipping Guam coastal user groups with the knowledge and tools needed to make sound, sustainable land use and coastal resource decisions.

UOGSG will award Master's Thesis Research Supplemental Grants addressing select areas of Coastal Community Development. *These supplemental grants are intended only to provide partial support of research activities, not to fund the entire research and thesis completion endeavor.*

C. Extension/Outreach Product Component

Project proposals *must* include at least one extension/outreach product that targets a lay audience of coastal users or coastal user groups. Examples of extension/outreach materials or activities include fact sheets, brochures, classroom presentations at local schools, a public talk at a National Park Service-managed site, or guided hike. Extension/outreach materials do not need to strictly focus on results of proposed research; they can, for example, explain the proposer's research process, present preliminary data, synthesize work that has informed the proposer's research project, and include other content that helps coastal users understand and make informed decisions about land use and coastal resources.

The best developers of extension materials and activities understand the audience they intend to reach and how best to reach them. While scientific journal articles and lectures are essential outputs for an academic researcher, extension programs educate and engage community members, respecting them as active stakeholders in shared resource use. Extension materials and activities are *not* simply scientific journal articles or lectures but extension materials are informed by science.

UOGSG will take an active role in the development, management, and implementation of extension and education materials or activities. UOGSG will review materials for linguistic accessibility, provide graphic design guidelines, promote the materials or activities, assist with participant recruitment, and evaluate activities for their outcomes. Implementation of outreach activities without substantial notice to UOGSG may result in the activity not being counted towards overall project progress. UOGSG reserves the right to approve or make changes to extension activities.

Applicants should read about past and current UOGSG extension activities on the website to understand this component before submitting proposals.

D. Research Priorities

Research priorities were developed through a stakeholder approach guided by a Research Advisory Board comprised of scientists with significant knowledge about the region, government and non-government institutions, and various Guam-based stakeholders. Some priorities can be found on two documents, the CNAS Stakeholder Brainstorming Session (2015) at <http://cnas-re.uog.edu/> and UOGSG Listening Session (2016) at <http://cnas-re.uog.edu/uog-sea-grant/>.

Sample Research Topics in Order of Priority:

Priority 1, Ecological Resilience

- Connectivity within and among marine protected area (MPA) networks
- Management and risk assessment of nuisance and invasive species
- Invasive species removal techniques
- Harmful algal blooms
- Modeling impacts at local scales for sea level rise and sea surface temperatures
- Ocean acidification impacts on model species, communities, and ecosystems
- Oceanographic data gathering and analyses
- Reef restoration and scaling of current methods (research techniques)

Priority 2, Land Based Sources of Pollution

- Storm water management management techniques for local conditions
- Impacts of pollution on reef assemblages

- Assessment of key ecological processes
- Establishment of monitoring methods
- Aquifer sustainability
- Land/resource use for conservation
- Government law or policies in conservation areas
- Policies for sustainable tourism and green fee feasibility

Priority 3, Fisheries

- Commercial and subsistence data for reef fisheries
- Fish restocking and expansion
- Local resource mapping and stock assessments
- Anthropogenic impacts on habitat
- Socioeconomic assessments and alternative data sets for resource and stock assessments
- Regional connectivity (genetics, larval dispersal oceanography)
- Catch-based data
- Cascading impacts from “unsustainable” resource use
- Comparing catch rate methods
- Traditional technologies to inform fishery regulation or policies

Priority 4, Watersheds

- Sustainable agriculture in watersheds
- Streambank and shoreline stabilization techniques
- Watershed restoration demonstrations
- Silt sock projects
- Community-based watershed management
- Improving geographic information systems (GIS) data availability and modeling
- Local mapping of resources (species and communities)
- Watershed monitoring (effects of restoration and degradation)

II. AWARD INFORMATION

A. Project Award Period

The project budget award period is one year. No cost extensions may be allowed on a case-by-case basis, contingent on awardee performance and compliance with grant guidelines.

B. Funding Instrument

Selections of successful applications are anticipated by June 1, 2017. Awardees will enter into a Memorandum of Agreement (MOA) with UOGSG and execute funding through UOGSG administration.

C. Reporting Requirements

Grant recipients will submit quarterly and final progress report(s) on a standard calendar to the Director of UOGSG, or program representative. Progress reports include expenditures and progress on tasks as per the proposed work plan. Failure to comply with reporting requirements and meeting deadlines will result in termination of grant support.

D. Acknowledgment of Sea Grant Funding

Any materials or activities funded in part or whole by this grant must acknowledge Sea Grant. Selected recipients will receive official language on their MOAs.

E. Data Sharing

As required by National Sea Grant guidelines, data collected from the proposed research project will be shared through peer-reviewed publication within two years and/or on the UOGSG website.

III. ELIGIBILITY

A. Eligible Applicants

Current University of Guam graduate students in “good standing” who will have completed their thesis program course work and advanced to “candidacy” by the project’s targeted start date. Applicants do not have to be U.S. citizens.

B. Cost Sharing or Match Requirements

There are no cost sharing or match requirements.

IV. APPLICATION AND SUBMISSION INFORMATION

A. Proposal Package Elements

Proposal packages must include the following:

1. Title page (1 page)
2. Project description (5 pages maximum)
3. Budget narrative (2 pages maximum)
4. Budget Form 90-4 (1 page form)
5. Curriculum vitae (2 pages maximum)
6. References cited (2 page)
7. Statement of advancement to candidacy
8. Permits (if applicable)
9. Clearance from Dive Safety Officer (if applicable)

For more detail about each package element, see below:

1. *Title page.* List one Principle Investigator. Include contact information: mailing addresses, email addresses, and phone numbers. *The title page counts toward the overall proposal package page limit.*
2. *Project description.* Maximum of five (5) pages with no additional appendices.
 - a. Funding award request amount.
 - b. Problem statement, research question, approach, and methodology.
 - c. Extension and education product. Be specific as to the type of outreach material/activity that will result (e.g. brochure, website, article, workshop), the number of potential people who will benefit from development of this product, and the target demographic (e.g. high school students at George Washington High School, National Park Service patrons). Provide a specific description of how the extension/outreach product will impact 1) The target audience or end users, and 2) Coastal ecosystems.
 - d. Significance and relevance of research and potential research results to Guam and/or Micronesian region.

- e. Work plan and timeline of activities, with a recommended start date as early as July 1, 2017. Include a table that lists the task and time range for task progress (e.g. Implement field work, July to September 2017).
 - f. Project management. Briefly highlight relevant experience in implementing proposed activities (e.g. supervision of volunteers, writing science-informed materials for a lay audience, managing grant funds). If the applicant wants to oversee volunteers or employees, the applicant *must* describe any prior experience in human resource management.
3. *Budget narrative*. Using the Budget Form 90-4 [**SEE ATTACHED**] as a category guide, briefly describe and justify budget costs. **Read the UOG Sea Grant Budget Guidance at the end of this RFP for more detail.**
 - a. Personnel (PI, faculty or staff, research assistants). *Do not list stipend payments here.*
 - b. Fringe benefits. Include social security contributions, medical, and dental here.
 - c. Permanent equipment. Equipment is defined as any singular item over \$5,000. *Equipment ownership reverts to UOG after the project ends.*
 - d. Supplies and materials. Provide specific line items and realistic cost estimates, inclusive of shipping where applicable.
 - e. Travel. The travel category can include airfare, per diems, conference fees, and/or local mileage.
 - f. Publication and documentation costs. Common examples include printing, duplication, journal page fees, and graphic design costs.
 - g. Other direct costs. Common other direct costs examples include facility and rental fees or stipends. *Stipend requests are listed here.*
 4. *Curriculum Vitae*. Submit one updated CV, up to 2 pages maximum.
 5. *References cited*.
 6. *Statement that the student applicant has or will have advanced to candidacy by project start date*, signed and dated by the department chairperson, graduate dean, or similar administrator.
 7. *Permits from appropriate agencies (if applicable, e.g. for Scientific Collecting)*. If you are awaiting permits, indicate the projected date of acquisition. Failure to acquire the permit within a timely manner may result in termination of grant. You should also have a back-up plan if you do not acquire the necessary permits.
 8. *Approval from UOG's Dive Safety Officer (if applicable)*.

B. Proposal Package Format Requirements

Proposals packages must be no more than 22 pages, *inclusive* of the title page, project description (5 pages), budget narrative, curriculum vitae, references cited, statement of candidacy, applicable permits or permissions, the non-collusion affidavit, and the disclosure of major shareholder form.

Proposals should be single spaced with 1-inch margins, 12-point Times or Times New Roman font, and page numbers on the bottom right corner.

The proposal package must be submitted in hard copy *and* as PDF on CD/DVD. CD/DVDs must be labeled. **Submissions submitted by email will be rejected.** No supplemental materials should be included, either in hard copy or on CD/DVD.

C. Submission Date and Time

All proposals are due by Wednesday, May 10, 2017 by 5:00 p.m., Chamorro Standard Time. Complete application packages must be submitted and stamped "Accepted" by the Office of Sponsored Research & Programs, located in House 33, Dean's Circle, UOG Campus.

D. Restrictions – Allowable Costs and Non-Allowable

Typical allowable costs include travel expenses related to technical training, professional and/or scholarly conferences, expendable supplies, and stipends to support modest living expenses.

Expenses that are not allowable include promotional items, entertainment costs, food, or to hire subcontractors.

V. REVIEW INFORMATION

A. Program Officer

For questions about this RFP, please contact UOGSG Assistant Instructor, Ms. Marie Auyong, email: marie.uogseagrant@gmail.com. *Email inquiries only.*

B. Proposal Review Process

All proposal packages will first be assessed for completeness and adherence to submission guidelines. UOGSG reserves the right to reject application packages for missing, incomplete, or improperly formatted documents. After the initial assessment, proposal packages will move to the Merit Review Committee.

The Merit Review Committee will score and rank proposals according to the criteria below. The Committee may have further questions about the proposals, after which time the applicant should respond by the deadline given in the request. The Committee will then forward responses and recommendations to the Director of UOGSG for final selection.

Reviewers may not necessarily be familiar with the applicant's specific academic discipline and/or reside in Guam or the immediate region. As such, applicants should provide enough background information for an educated layperson to understand the proposal and its relevance to Guam and/or Micronesia.

C. Evaluation Criteria

Technical/scientific merit and feasibility: 40 points

- a. Is the project description adequately complete and detailed?
- b. Is the approach technically sound or innovative? Are the methods appropriate?
- c. Is the proposal based on quantifiable objectives or testable hypothesis?
- d. What is the overall technical feasibility of the project?
- e. What is the likelihood of meeting work plan milestones and achieving anticipated results in during the project timeframe?

Relevance: 20 points

- a. Does the research and project address the top priority research content area or does it address multiple lower-priority research content areas?
- b. To what extent is the proposed research relevant to *Guam coastal users or coastal user groups*?
- c. To what extent is the proposed research relevant to *UOGSG's mission*? (Note: UOGSG research mission: *To integrate and apply research... that sustain and develop island environments while integrating the knowledge and culture of the island's people.*)

Extension/outreach plan and product: 20 points

- a. Has the applicant identified a specific target end user and/or target audience?
- b. How well has the applicant justified targeting the specific end user and/or target audience?
- c. How appropriate is the applicant's extension/outreach product in reaching the target audience?
- d. Will the results be useful to the identified users?
- e. Is there a well-developed outreach component for effective information transfer?

Project costs: 15 points

- a. Is the budget realistic and appropriate for the project needs and timeframe?
- c. What is the likelihood the project will result in appropriate outcomes for the proposed cost?
- d. If funds are requested for partial support for a project, how does the overall project budget allow an informed determination of the project's readiness and how the piece requested fits into the whole?
- e. How well justified are all costs associated with the project?

Overall qualifications of investigators: 5 points

- a. Does the applicant possess the necessary education, experience, training, facilities, and administrative resources to accomplish the project?
- b. If the applicant intends to supervise volunteers or employees, has s/he addressed capability or experience in doing so?
- c. Given the investigator's existing responsibilities, what is the likelihood of being able to manage an additional project?

SEA GRANT BUDGET FORM 90-4

(Amended from official OMB control number 0648-0362, exp. 7/31/14 for RFP formatting purposes)

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|---|----------------------|-------------------------|---------------------------------|-----------------------|
| GRANTEE: University of Guam Sea Grant | | | YEAR: 2017 | |
| PROJECT TITLE: | | | GRANT/PROJECT NO.: | |
| PRINCIPAL INVESTIGATOR: | | | DURATION (months): 12 | |
| A. SALARIES AND WAGES: | staff-months | | Sea Grant Funds | Matching Funds |
| | No. of People | Amount of Effort | | |
| 1. Senior Personnel | | | | |
| a. (Co) Principal Investigator-AY: | | | | |
| (Co) Principal Investigator-Summer | | | | |
| b. Associates (Faculty or Staff)-AY | | | | |
| Associates (Faculty or Staff) Summer | | | | |
| Sub Total: | | | | |
| 2. Other Personnel | | | | |
| a. Professionals: | | | | |
| b. Research Associates: | | | | |
| c. Res. Asst./Grad. Students-AY (no fringe | | | | |
| d. Prof. School Students: | | | | |
| e. Pre-Bachelor Student(s): | | | | |
| f. Secretarial-Clerical/Program Assistant: | | | | |
| g. Technicians: | | | | |
| h. Other: | | | | |
| Total Salaries and Wages: | | | | |
| B. FRINGE BENEFITS at full rate | | | Rate used: | |
| FRINGE BENEFITS at basic rate | | | Rate used: | |
| Total Personnel (A and B) | | | | |
| C. PERMANENT EQUIPMENT: | | | | |
| D. EXPENDABLE SUPPLIES AND EQUIPMENT: | | | | |
| E. TRAVEL: | | | | |
| 1. Domestic | | | | |
| 2. International | | | | |
| Total Travel: | | | | |
| F. PUBLICATION AND DOCUMENTATION COSTS: | | | | |
| G. OTHER COSTS: | | | | |
| 1. | | | | |
| 2. | | | | |
| 3. | | | | |
| 4. | | | | |
| 5. | | | | |
| Total Other Costs: | | | | |
| TOTAL DIRECT COST (A through G): | | | | |
| INDIRECT COST (On campus rate % of): | | | | |
| INDIRECT COST (Off campus rate % of): | | | | |
| TOTAL INDIRECT COSTS: | | | | |
| TOTAL COSTS: | | | | |

UOG Sea Grant Budget Guidance

A budget justification and narrative shows reviewers how you will use project funds. The justification assists them with determining if your budget is cost effective. "Cost effective" is different than doing the project as "cheaply" as possible. Your justification demonstrates that you researched and realistically projected expenses and funds are expended in a way that maximizes their utility.

Personnel. Anyone listed under personnel is subject to RCUOG human resource standards and procedures, including those related to hiring, time documentation, liability, and worker rights. In your justification, list the specific tasks and responsibilities this person will have. Verify pay scales are compliant with the RCUOG payment plan and position titles at <http://www.uog.edu/rcuog/policies-and-forms>. Please also see below the note on the difference between stipend recipients and employees.

Fringe Benefits. Fringe benefits include Social Security contributions at 7.65% of total allocated amount, medical, and/or dental benefits. For example, if you want to include a \$1,000 line item for a research assistant, then the associated fringe benefit for that employee is $\$1,000 \times .0765 = \76.50 .

Permanent Equipment. Permanent equipment is defined as any singular item over \$5,000, or a set of items that, while individually could cost less than \$5,000, might be used collectively for a total of \$5,000+. *Equipment ownership reverts to UOG after the project ends.* Purchase of items over \$5,000 will be subject to UOG procurement guidelines.

Supplies and Materials. Provide specific line items and realistic cost estimates, inclusive of shipping where applicable. Vendors may charge additional packing costs, exclude shipping to Guam, and/or charge international freight rates, so double-check that the supplier will be able to provide the goods within your projected budget. You may find that you have to use a secondary shipping handler because of customs or other unique shipping scenarios.

Travel. Travel costs and activities are subject to RCUOG policy, procedures, and paperwork deadlines. Travel can include travel fees for attending or presenting at conferences, conference fees, and/or local mileage associated with the project. When putting together estimated costs for travel, use round-trip airfare estimates, per diems with rates taken from the U.S. General Services Administration website at <http://www.gsa.gov/portal/content/104877>, car rental fees or train tickets, and conference registration fees.

Publication and Documentation Costs. Common examples include printing, duplication, page fees, and graphic design contract costs.

Other Direct Costs. The most common other direct costs include facility and rental fees, honorarium or stipend payments, and academic or professional membership organization fees.

Note on Stipends and Differences between Stipend Recipients and Employees

For the purposes of this grant, a stipend is "strictly intended to defray living or other expenses but is not intended compensation services rendered," in particular for individuals receiving technical and/or academic training.

Within the budget narrative, justify the amount according to reasonable estimates or market rates that can include housing (rent, utilities), local travel (car insurance, car rental), and other miscellaneous living expenses.

Stipend installments are disbursed on a schedule, subject to UOGSG discretion at project initiation. Historically, they have been disbursed quarterly, with the last disbursement processed after a final report submission.

Stipends are reportable income. UOG will issue a 1098T at the end of the tax year and the stipend recipient will be required to file as an individual.

Stipends should not be used to “subcontract” other students or persons to do work as those people would not be employees of UOG and thus not have similar coverage, rights, and responsibilities as a UOG employee.

Here are real world examples of the difference:

Example for stipend recipient. You want an assistant to help you collect samples or do routine lab work. A stipend recipient receives the stipend—very generally speaking—regardless of reliability, work quality, performance, skill set, or other qualifications. You and your project's completion do not rely or depend on this person. Your primary purpose in having this assistant is to provide technical or academic training, or mentorship, to the recipient. This endeavor could be a good outreach activity.

Example for employee. You want an assistant to help you collect samples or do routine lab work. This assistant will be paid for hours worked as documented in a time sheet, is accountable for work quality, and can be fired if standards are not met. You and your project depend on this employee's labor and outputs.

Regardless of stipend recipient or employee status, budget for items that enable stipend recipients or employees to perform their functions legally, appropriately, and in accordance with unit requirements. Common budget items include dive physicals or dive-related training (such as First Aid or Emergency O2 Provider training).

For more detail about the definition on stipends, see <http://www.uog.edu/rcuog/policies-and-forms>.