



SUBMISSION DEADLINE: December 16, 2016 (4 PM Alaska Standard Time)

Funding Availability: \$4,550,000

Estimated Number of Awards: 25

Project Period: 1-4 years

Eligibility: Any federal, state, private or foreign institution

Submission site: <http://grants.nprb.org/rfp/2017#/login>

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IMPORTANT CHANGES TO THIS PROGRAM

Proposal caps: Individual proposals may not exceed the total funds indicated in the selected research category, with the exception of Fishes and Invertebrates (\$500,000 proposal limit).

Financial documents: A copy of the federally negotiated indirect cost rate agreement (NICRA) is required at the time of submission. Organizations without a NICRA may request up to 10% in indirect costs.

Letters of Support: All letters of support and collaboration are due at proposal submission.

Outreach: Please read the detailed instructions under Proposal Preparation, as new criteria have been applied to the standard outreach requirements. Applicants have the opportunity to submit a companion Outreach proposal for additional funding up to \$15,000.

Signature pages: Completed signature page(s) must be uploaded by the proposal deadline to allow final document validation and submission confirmation.

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I. Introduction

The North Pacific Research Board (NPRB) was established by the U.S. Congress to recommend marine research to the U.S. Secretary of Commerce. The enabling legislation states: "The Board shall seek to avoid duplicating other research activities, and shall place a priority on cooperative research efforts designed to address pressing fishery management or marine ecosystem information needs. Approved

research projects are funded through a competitive grant program, using a portion of the interest earned from the Environmental Improvement and Restoration Fund. These funds must be used to conduct research activities on, or relating to, fisheries and marine ecosystems in the North Pacific Ocean, Bering Sea, Aleutian Islands, Gulf of Alaska and Arctic. NPRB prioritizes research that improves understanding of marine ecosystems and enhances effective fishery management and sustainable use of marine resources.”

The 2017 RFP is similar in form and content to past Core Program requests for proposals. Research categories are structured according to the 2005 NPRB Science Plan. NPRB has applied a cyclical approach to funding in several research priorities to ensure sufficient funds are available to allow larger-scale scientific questions to be addressed. The anticipated allocation is outlined in **Table 1**. The Science Plan is currently under revision, and these categories may change substantially in future RFPs.

Table 1. Anticipated distribution of funds

CATEGORY	2017
Oceanography and Lower Trophic Level Productivity	\$500,000
Fishes and Invertebrates	\$1,100,000
Seabirds	\$100,000
Marine Mammals	\$800,000
Human Dimensions	\$500,000
Other Prominent Issues	\$100,000
Community Involvement	\$150,000
Cooperative Research with Industry	\$300,000
Technology Development	\$300,000
Data Rescue	\$100,000
Focus Section	\$600,000
TOTAL	\$4,550,000

No proposal may exceed the total funds indicated in the selected category. The Board intends to fund more than one proposal in the Fishes and Invertebrates category (\$500,000 proposal cap). Funding limits apply to the entire project, not per year.

Research may be conducted within any of the large marine ecosystems relevant to Alaska (i.e., Gulf of Alaska, Bering Sea, Aleutian Islands, Chukchi and Beaufort seas). However, there may be specific geographic focus for a given research category. Applicants should strive to avoid duplication and familiarize themselves with current and previous related NPRB projects (www.nprb.org). Projects that align with the Arctic Integrated Ecosystem Research Program may be expected to collaborate and share relevant data. Additional funds will be provided for the Lead PI to attend the annual Arctic IERP PI meetings.

NPRB encourages collaborative research proposals that leverage external funding sources, utilize external logistical support, or enhance ongoing projects in all categories. NPRB has developed a collaborative framework for funding with the Oil Spill Recovery Institute, Bering Sea Fisheries Research

Foundation, Pollock Conservation Cooperative Research Center, and the NOAA National Centers for Coastal Ocean Science. No additional reporting requirements are associated with funding under this collaboration, however interim and final reports will be shared with the collaborating funding institution, and any publication must also recognize that institution as a funding source.

II. Program Description

Proposed research may fall under any of the categories described below. While studies may address components of multiple categories, the proposal will only be considered for the category under which it was submitted. Each category is described in general topics of interest with additional issues of particular interest. All topics and issues are of equal priority. Proposals may integrate aspects of more than one category in their overall approach. NPRB also encourages proposals on novel research topics not explicitly mentioned within each category.

Oceanography and Lower Trophic Level Productivity

The individual proposal funding cap for this category is \$500,000.

General topics of interest:

- ocean-atmosphere forcing
- physical oceanography (e.g., water column structure, temperature, sea ice, advection)
- chemical oceanography (e.g., nutrients, ocean acidification)
- biological oceanography (e.g., process rates and linkages of microbes, phytoplankton, and zooplankton)
- other oceanography and lower trophic level research, including modeling

Issues of particular interest:

- response to anomalous warming or changing seasonality
- nutrient and carbon cycling in a broad ecological context

Fishes and Invertebrates

The individual proposal funding cap for this category is \$500,000.

General topics of interest:

- development and application of new assessment approaches
- estimation of life history parameters that impact stock assessments (e.g., age, growth, maturity, fecundity, natural mortality, environmental drivers, recruitment)
- spatial and temporal variation in stock distribution patterns (e.g., life history stages, environmental drivers, prey availability and/or predator avoidance)
- analyses of survey design and data (e.g., gear selectivity and species distribution/availability, influences of environment or habitat, linking multiple data sources, estimating parameter uncertainty)
- ecology and physiology of forage species (e.g., recruitment, growth, environmental linkages, and factors influencing availability to predators)
- bycatch and incidental catch (e.g., spatiotemporal distribution, ecological effects, discard mortality, and implications of management measures)
- characterization of habitat essential for spawning, nursery and feeding areas
- development of predictive models of habitat use and quality, including climate-driven shifts in

habitat quality and availability

- other fishes and invertebrates research

Issues of particular interest:

- above topics of interest applied to data-poor stocks
- survey catchability
- discard mortality rates
- implementation of short-term climate forecasts (e.g., less than 5 years) for assessing changes in marine resources
- research on non-recovering stocks and mechanisms for recovery failure
- improvements to spatial resolution of stock assessments
- role of Arctic lagoons in fish and invertebrate population dynamics in the context of ecosystem change

Seabirds

The individual proposal funding cap for this category is \$100,000.

General topics of interest:

- abundance, distribution, movement and migration patterns
- ecology, physiology and/or vital rates
- responses to shifting physical environmental parameters or predator-prey interactions
- synergistic effects of multiple stressors on individuals and populations (e.g., anthropogenic impacts, ecological changes, pathogens, contaminants)
- population structure (e.g., dispersal statistics, genomics, connectivity)
- species interactions with industrial activities (e.g., vessel traffic, fishing, tourism, resource extraction)
- other seabird research

Issues of particular interest:

- identification of marine bird species vulnerable to coastal erosion and/or flooding
- causes and effects of marine bird mortality events (e.g., murre wreck)
- ecology of marine birds in the Chukchi and Beaufort seas, including the Bering Strait (e.g., productivity, diet, foraging behavior)

Marine Mammals

The individual proposal funding cap for this category is \$800,000.

General topics of interest:

- abundance, distribution, movement and migration patterns
- ecology, physiology and/or vital rates
- responses to shifting physical environmental parameters or predator-prey interactions
- synergistic effects of multiple stressors on individuals and populations (e.g., anthropogenic impacts, ecological changes, pathogens, contaminants)
- population structure (e.g., dispersal statistics, genomics, connectivity)
- species interactions with industrial activities (e.g., vessel traffic, fishing, tourism, resource extraction)

- other marine mammal research

Issues of particular interest:

- climate impacts on ice-obligate and ice-associated species
- walrus population distribution, demographics, behavior and haulout usage, including retrospective analyses
- impacts of fishery management on northern fur seals and Steller sea lions
- causes and effects of marine mammal mortality events (e.g., unusual mortality events)

Human Dimensions

The individual proposal funding cap for this category is \$500,000.

This category was specifically designed to advance the role of social sciences, citizen science and/or local or traditional knowledge in the analysis of interactions between humans, resource management and the marine environment. **In proposals engaging communities, industry, local and/or traditional knowledge, written statements of interest or formal collaboration from Tribal governments, local communities or stakeholders are required at the time of proposal submission for any study collecting new data.**

General topics of interest:

- individual and/or community wellbeing (e.g., influence of resource availability and/or access on wellbeing, indicators of wellbeing for marine-resource dependent communities)
- stewardship practices and/or values
- new tools, models and frameworks to understand/predict implications of management decisions
- effectiveness and/or comparison of management regimes (e.g., ecosystem-based, dedicated access-based, conventional, local, traditional ecological)
- collection, synthesis and/or application of local or traditional knowledge
- consequences of fisheries management on human behavior (e.g., the observer program and fisheries enforcement)
- other research in human dimensions

Issues of particular interest:

- community resilience and adaptation to ecosystem change
- food security and food safety
- adaptability of management programs to changing environmental conditions and dynamic shifts in resource distribution and availability
- role of Arctic lagoons in cultural, recreational and subsistence harvest activities in the context of ecosystem change

Other Prominent Issues

The individual proposal funding cap for this category is \$100,000.

General topics of interest:

- effects of pathogens, biotoxins or contaminants on ecosystems (may include public health issues)
- ecological and economic impacts of marine invasive species

- influence of industry activities (e.g., marine traffic, noise and/or discharge) on ecosystem health, services and function
- evaluation and impacts of marine debris

Issues of particular interest:

- food safety associated with consumption of marine species

Community Involvement

The individual proposal funding cap for this category is \$150,000.

Proposals under this category must be initiated or co-designed by local communities. The proposal must include a description of how the project will meet scientific standards and fulfill community expectations, and may include citizen science. Support letters from the community are required at the time of submission.

General topics of interest:

- changes in coastlines, ocean currents, storm surges and sea ice extent
- observations of changes in biological resources and the marine environment
- resilience and/or adaptation strategies in marine-dependent communities
- observations and documentation of marine-related traditional activities (e.g., subsistence, cultural, recreational)
- other community involvement research

Issues of particular interest:

- community resilience and adaptation to ecosystem change
- food security

Cooperative Research with Industry

The individual proposal funding cap for this category is \$300,000.

Proposals under this category require a formal cooperative plan at the time of submission.

In addition to the standard criteria, proposals in this section will also be evaluated for: the degree to which the industry partner is directly engaged in the project (from conception and design to data analysis), applicability to pressing management needs of the industry, the extent to which the project will improve shared understanding between science and industry, and the use of existing infrastructure for marine observations. For proposals in collaboration with certain maritime industries (i.e., oil and gas, mining, tourism, shipping) priority will be given to studies that take place where industry activities currently occur or where they are anticipated to occur in the near future. In all cases, applicants are encouraged to use data previously collected by industry.

General topics of interest:

- modifications to gear, equipment and communications techniques that reduce impacts on habitats and species
- means to enhance industry-dependent data collection (e.g., electronic monitoring, oceanographic monitoring)
- direct interactions between marine wildlife and industry (e.g., mariculture, wild-hatchery interactions, ship strikes, whale depredation, alternative energy development, port expansion)
- factors influencing the fate of spilled oil, accidental discharge and/or remediation effectiveness
- other cooperative research with industry

Issues of particular interest:

- improvements to at-sea monitoring for management purposes
- innovative approaches to monitoring, capturing and tagging species to learn about seasonal movements and availability to surveys

Technology Development

The individual proposal funding cap for this category is \$300,000.

This category is designed to encourage both the development of novel technologies and the validation of existing methodologies under new applications. Justification must be provided for the use of existing technology in this context. Proposals that solely develop technology should indicate where such technology may be applied.

General topics of interest:

- novel molecular and laboratory-based technologies
- sensor and platform technologies for marine-environmental information (e.g., ROVs, AUVs, moorings)
- tag and marking technologies
- improvements to data collection and management for commercial, recreational and/or subsistence harvests
- improvements to abundance surveys, and/or status assessments
- marine plants and animals as sentinels to collect environmental data
- other technology development research

Data Rescue

The individual proposal funding cap for this category is \$100,000.

Data rescue in this context includes the preservation of specimens in permanent archives, transfer of outdated electronic records to current archiving methods and transcription of hard copy records to accessible electronic formats. In addition to the standard criteria, proposals in this section will also be evaluated for: a description of the current nature and state of the data (location, format, content, completeness), assurances that the data are not already a component of an accessible portal, and a description of the utility of the dataset to relevant science and management issues. **Proposals under this category are not eligible for support to undertake new data collection or analyze existing samples.**

General topics of interest:

- identification of and access to previously collected data from sources including fishing and whaling records, documented local or traditional knowledge, gray literature reports, field notes, middens and sediment records
- rescue and dissemination of data currently in inaccessible formats, including paper files and outdated electronic storage formats

Focus Section

The individual proposal funding cap for this category is \$600,000.

Pacific Cod in the Aleutian Islands: Pressing fishery management information needs have emerged for Pacific cod in the Aleutian Islands. Formerly managed jointly with the Bering Sea stock, the potential for spatially disproportionate harvest rates led to a 2012 North Pacific Fishery Management Council

decision to separate stock assessment and total allowable catch for Aleutian Islands (AI) and Bering Sea (BS) Pacific cod. As a result, AI Pacific cod is now evaluated in a Tier 5 stock assessment with trawl survey data that is available every other year. The outcome has been reduced harvest with adverse impacts on communities and industries that have depend on AI Pacific cod. Important questions related to the current management of AI cod are that there are significant differences between the size and abundance of cod caught in the fishery and those caught in the survey. Also, target fishing occurs in February/March while the AI trawl survey occurs in summer. Some portion of the adult AI Pacific cod may not be present in the Aleutians in summer months or may be present in areas inaccessible to bottom trawl survey gear. There are critical gaps in understanding of seasonal movement and localized abundance that confound survey accuracy, fishery management, and considerations related to localized depletion of cod as Steller sea lion prey. Proposals for this focal section should address ways to inform seasonal movements of AI Pacific cod through tagging or other approaches, explore ideas for alternative survey designs, and develop innovative ways to quantify local abundance spatially and temporally. Relevant questions include habitat utilization, seasonal movement, availability to the AI bottom trawl survey, and how trawlability affects the utility of the current survey design.

III. Research Proposal Preparation

All proposals should be compiled and uploaded through the online submission system

(<http://grants.nprb.org/rfp/2017>). During the submission process, you will create an account linked to this specific RFP. This login will allow you to return to the proposal up until the time of submission or the closure of the proposal period. It is strongly recommended that you read through all of the instructions below and allow for sufficient time to familiarize yourself with the components of the online system before beginning your proposal. Some pages require direct data entry, whereas others require a file upload. Required templates (noted below) are provided as a download on the relevant pages. The system will auto-save information and allow you to navigate between sections. A proposal validation will be performed to ensure that all required components and formatting restrictions have been met. Any errors will be listed for your review and revision prior to final submission. Successful submission will be confirmed on the final page and via email to the Applicant.

The submission system is optimized for the full Chrome web browser. Other programs such as Internet Explorer, Edge and Safari may not provide you with full functionality. This site may not function on mobile devices such as iPads, Android tablets, smartphones, etc.

The research proposal package includes the following sections:

1. **Title & Period**
2. **Abstract (300 words)**
3. **Contacts (Applicant, Investigators [CV upload], Grants Managers, Suggested Reviewers)**
4. **Descriptors**
5. **Background (1,000 words)**
6. **Objectives (60 words each)**
7. **Design & Approach (4,000 words)**
8. **Figures, Tables & Equations (optional upload)**
9. **Management or Ecosystem Implication (300 words)**
10. **Community & Stakeholder Involvement (300 words)**

11. Links to prior NPRB projects (300 words)
12. Project Management
13. Timeline & Milestones (template)
14. Budget (Overview, Budget Detail [template], Multiple Organization Summary [template], NICRA [upload])
15. Supplemental Documents (optional upload, Letters of Support, MOUs, Permits, Quotes)
16. Review Criteria
17. References
18. Upload Summary
19. Outreach
20. Signatures (template)
21. Review & Submit

Specific instructions for each section are provided below and repeated at the top of each corresponding webpage. Word or character limits are posted and enforced for sections with restrictions. Applicants must use the required templates for the Timeline, Budget and Signatures sections. Templates may be downloaded from the relevant pages within the system. Uploaded PDF files must be unlocked to allow for integration into the full proposal document.

Applicants may download a PDF version of their proposal at any stage of completion for review using the download button labeled “PDF” found in the upper right hand corner of any page in the system.

Proposals may be edited at any point up until submission. Users may navigate through the proposal system through either the top drop-down menu or the previous/next buttons to the right of the page. Any changes made within the online system will be saved automatically. It is recommended that any large quantities of text be created and edited in a standard application such as Word, to be cut and pasted into the appropriate text box. **Content exceeding the word limit for restricted sections will not be saved.** The submission system will not allow final validation of incomplete proposals. Successful submissions will be confirmed on the final webpage, and through an email to the Applicant. Any package submitted with incorrect or invalid file uploads (e.g., blank.pdf) will not be considered.

Proposals with multiple organizations should be uploaded by the lead organization. Contact information, budget and signature pages are required for each organization requesting funds.

The online system will close promptly at 4 pm on Friday, December 16, 2016 (Alaska Standard Time). Submission well in advance of the deadline is highly recommended.

1. **Title & Period.** Include a long title of up to **120 characters**, as well as a short title of up to **60 characters**. Provide a start and end date (i.e., month and year) for your project. A start date of September 1, 2017, or later is strongly recommended to allow sufficient time for administrative requirements. Projects are not permitted to start before July 1, 2017. Project duration should allow for sufficient time to complete the final reporting requirements and include attendance at the Alaska Marine Science Symposium closest to the completion of your project. If this is a resubmission of a previous proposal, use the section provided (300 words) to describe any changes or

improvements. Applicants should indicate which collaborative funding opportunities for which they wish to be considered.

2. **Abstract (300 words).** Briefly explain the goal and value of the proposed project and how your research is relevant to the mission of NPRB. Use language understandable by the general public.

3. **Contacts**

a. **Investigators (CVs required for PIs).**

- i. **Proposal Applicant.** There is only one applicant per proposal. This person can provide legally binding authorization. In collaborative submissions, this is the authorized organizational representative for the lead institution. Full contact information is required.
- ii. **Lead Principal Investigator.** This person will have the overall responsibility for the project should it be funded. The Lead PI will have oversight of scientific content, project management and completion. There can only be one Lead PI for any given project. Full contact information and 2-page CV in Word or PDF format are required.
- iii. **Principal Investigator.** Every organization requesting funds must identify a PI. Full contact information and 2-page CV in Word or PDF format are required.
- iv. **Co-Investigator** (if applicable). Co-Investigators receive funds as part of their involvement with the project. There can be multiple Co-Investigators for each organization. Full contact information is required.
- v. **Unfunded Collaborator** (if applicable). Any participant that does not receive funds falls under this category. Full contact information is required.
- vi. **Contractor** (if applicable). Person(s) not identified as a PI or Co-I receiving funds and are committed to work on a specific task but are not responsible for the completion of the project as a whole. Full contact information is required.

- b. **Grants Manager.** Person responsible for the financial administration of the grant (e.g., Office of Sponsored Programs). Full contact information is required.

- c. **Suggested Reviewers.** Identify person(s) not associated with individuals or institutions submitting this proposal, but with sufficient expertise and credentials to review the proposal in an objective manner. **Full contact information is required for a minimum of 3 people.** Individuals who meet any of the following criteria **are not eligible** to serve as reviewers for your proposal:

- i. The individual is a member of an organization that has provided a letter of support.
- ii. The individual has significant financial interest in the proposal.
- iii. The individual is employed at the same organization as a PI or Co-PI.
- iv. The individual is part of a collaboration with a PI or Co-PI on a project, book, article, report/paper within the last 24 months.
- v. The individual is known to also be submitting a proposal in response to this RFP.

The full conflict of interest policy is located at <http://www.nprb.org/nprb/about-us/#policies>.

- d. **Unacceptable Reviewer** (if applicable). Please identify any individual(s) that you would prefer not to review your proposal.

4. **Descriptors.** This section will allow you to identify the category under which you are submitting, the large marine ecosystem(s) relevant to your proposal, specific species identification (if applicable), type of approach, and proposal keywords.
5. **Background (1,000 words).** This section should provide the larger context and concept of the project. Proposals will be evaluated on their understanding of the problem being addressed, the present state of knowledge in the field, and the measurable benefits that will result from the proposed research. Specific objectives, hypotheses and experimental design should be included in subsequent sections. It is highly recommended that you prepare your text in Word or a similar application to be cut and pasted into this section.
6. **Objectives (60 words each).** Objectives should be concise, lie within the scope of the project, and provide a discrete intended outcome. Multiple objectives can be included using the 'Add Objective' button at the bottom of the page. The order of the objectives may be changed using the drag and drop feature.
7. **Design & Approach (4,000 words).** Experimental design and methods should be detailed in this section. Present a list of clear hypotheses as appropriate. Any field logistics and animal handling should be detailed here. Include the statistical and analytical approach, including assumptions, sample size required, and model validation. A power analysis is strongly recommended where applicable. It is highly recommended that you prepare your text in Word or a similar application to be cut and pasted into this section. Figures, Tables and Equations should be uploaded in the following section.
8. **Figures (maximum 4), Tables (maximum 2) & Equations (unlimited).** All files in this section should be uploaded in PDF format. The applicant is responsible for ensuring that the resolution and size of each file conforms to one page. Figure legends and table headers should be included in each file as part of the image. Multiple equations may be included in a single PDF upload. It is highly recommended that the proposal output be viewed and verified by the Applicant prior to submission.
9. **Management or Ecosystem Implication (300 words).** Describe how the research addresses pressing fishery management or ecosystem information needs.
10. **Community & Stakeholder Involvement (300 words).** Inclusion of stakeholders in project planning and incorporation of local and traditional knowledge is strongly encouraged. Applicants should identify which groups were involved, at which stage in the project development or anticipated implementation, and how results will be disseminated back to participants and interested parties. If this section does not apply to your proposal, use this section to briefly explain why. **Proposals for research involving specific Alaska Native communities must include a letter of support from the appropriate community or tribal governing bodies at the time of submission.**
11. **Links to prior NPRB projects (300 words).** Describe any links to projects previously funded by NPRB, including work by the current project team as well as other groups on the same topic, as relevant. Specifically identify if a project is linked to a member of the currently proposed team. Projects that are currently underway but not yet completed may also be referenced. Include NPRB project numbers whenever possible. State if there are no linkages. A project search may be conducted at <http://projects.nprb.org/>.
12. **Project Management.** Describe how the expertise of the PI and other team members relates to the successful completion of the project. Explain the coordination and collaboration plan for multiple institutions, and to other ongoing or submitted projects if applicable. Define the anticipated dissemination of your results. **Note that all permits are the responsibility of the Applicant.** Provide

all relevant permit numbers or permit application identifiers in this section. Full permit copies may be uploaded in **Supplemental Documents**.

- 13. Timeline & Milestones (required template).** The system will auto-populate an Excel template with the dates and objectives specific to your project. The template may be downloaded from this page. Please enter the responsible person(s) for each task. Additional tasks may be added as necessary. It is highly recommended that you finalize your Title and Period (Section 1) and Objectives (Section 6) before downloading your auto-generated template. If you change any of the components mentioned above after you have uploaded your timeline document, you will need to delete the existing uploaded file before the system can update the template for you. The timeline should also include attendance of at least one project representative at the Alaska Marine Science Symposium following substantial project completion. Annual AMSS attendance is not mandatory, but encouraged.
- 14. Budget. Please read the detailed instructions available as a PDF download on the budget webpage before beginning this section.** Cost sharing is not required, but leveraging of other support is encouraged.
- Overview.** Identify each Institution requesting funds and the total amount of each budget. Any in-kind or other support should also be entered here. **Confirm that the amounts entered correspond exactly with the Budget Detail (individual organizations) and Multiple Organization Budget Summary (if applicable). Total requested amounts must be within the cap for the category selected.**
 - Budget Detail (required template).** Complete and upload the provided Excel template for each institution requesting funds. See detailed instructions on this webpage for specific guidance on preparation. If further explanation of budget item(s) is required, it may be uploaded in the Supplemental Documents section. Line items designated as Outreach expenses should be clearly identified in the comments section (see also **19. Outreach**).
 - Multiple Organization Budget Summary (if applicable, required template).** If your project includes more than one organization requesting funds, this Excel template must be completed. See detailed instructions on this webpage for specific guidance on preparation. This template will only appear in the system after more than one organization has been identified.
 - NICRA.** A copy of the current federally negotiated indirect cost-rate agreement (NICRA) is required for all organizations requesting indirect cost recovery greater than 10% of total direct costs. Organizations without a current federally negotiated NICRA may request a 10% indirect cost recovery. A memo to this effect specifically identifying the institution should be uploaded in lieu of a NICRA document. The total dollar amount of the indirect costs proposed must not exceed the indirect cost rate negotiated and approved by a cognizant federal agency prior to the proposed effective date of the award, or 100% of the total proposed direct cost amount in the application, whichever is less. For-profit organizations should note that NPRB grants federal funding via subaward mechanism and not via subcontracts. **Profit is not an allowable cost on subawards.** For profit organizations are strongly encouraged to consult the Program Manager well in advance of submission to ensure that any rate agreement meets NPRB's compliance requirements.
- 15. Supplemental Documents (Letters of Support, MOUs, Permits, Quotes).** This section may be used to upload supporting documents for your project. All uploads should be in PDF format. **All letters of support are due at the time of proposal submission.** Manuscripts are not considered acceptable

supporting documents. Documents that do not meet the categories listed above will be removed from the proposal package.

- 16. Review Criteria.** This section will guide you through a series of pages to identify the relevant fields of expertise applicable to review your proposal. This information will guide the Reviewer selection, and is not intended to be a listing of your personal expertise. Select all that apply to your project. If no fields on the page apply, leave it blank and move to the next page. **You must select a minimum of 5 identifiers.**
- 17. References.** List all sources of information cited in your proposal in a consistent format appropriate for a major journal such as *ICES Journal of Marine Science*.
- 18. Upload Summary.** This page will allow you to view all of the documents that have been uploaded to this proposal.
- 19. Outreach.** Select from one of six standard outreach options defined by NPRB, or apply for a companion outreach award of up to \$15,000. Outreach award details are outlined below in **Outreach Proposal Preparation**.
 - a. Standard Outreach Options.** Applicants opting for one of the standard outreach options should include a total of \$2,500-\$5,000 in the budget for this component (e.g., actual costs plus related indirect). The options include: train or be trained, host and experiment, virtual dissemination, community or stakeholder involvement, story mapping, and video production. Specific details are included in the outreach page of the submission system. Items that are related to Outreach expenses should be denoted in the Budget detail comments section. Outreach funds may not be reallocated for other research project expenditures. Completed projects that have not met their Outreach objectives will have these funds withheld from final payment. University student research, publications in peer-reviewed journals, or presentations at scientific conferences **do not fulfill** the outreach requirement. Applicants who elect from the standard options are still encouraged to conduct opportunistic outreach initiatives (e.g., community meetings, potlucks, workshops) that correspond with research travel and priorities. Refer to the online submission system for more details.
 - b. Projects that have direct community involvement must complete an Outreach Proposal.** A standard outreach option must still be selected and \$2,500-\$5,000 included in the Budget Narrative in the event the outreach proposal is **not** selected. If selected for outreach funding, the funds earmarked for outreach in the research proposal would be appropriated to the outreach award.
- 20. Signatures.** The system will generate a signature page for each organization requesting funds. The signature on this page certifies that the proposal, in its entirety, has been submitted according to your organization's standard proposal approval process. **The proposal Applicant (i.e., authorized organizational representative) should sign this page. An overall signature page listing all participant institutions will also be generated for collaborative proposals, to be signed by the Applicant of the lead organization.** The lead organization is responsible for the entry and upload of all information in any collaborative proposal.

Signature pages are due at the time of proposal submission.
- 21. Review & Submit.** This page will guide you to address any missing documents or input, providing error messages that link to any page with missing or incomplete information. The system will not

allow you to submit until all of the error messages have been resolved. A confirmation message will appear on the screen when the system has accepted your proposal. **It is highly recommended that you preview your proposal prior to submission by downloading a PDF of your proposal, using the download button labeled “PDF” found in the upper right of each page. You will not be able to edit any information after you have submitted your proposal.**

The online system will close promptly at 4 pm on Friday, December 16, 2016 (Alaska Standard Time). Submission well in advance of the deadline is highly recommended.

IV. Outreach Proposal Preparation *NEW*

Proposers have the opportunity to leverage additional funds through a new initiative to encourage creative and meaningful Outreach products and experiences. The Outreach page of the main research proposal will provide a portal to the outreach proposal option. (Pop-ups must be enabled in Google Chrome.) **Outreach proposals may be submitted either before or after the primary research proposal, but must be before the submission deadline.** Supplemental awards may request a minimum of \$2,500 to a maximum of \$15,000. Outreach proposals will not be considered without a successful companion research proposal. Outreach proposals will be reviewed by the NPRB Science Panel, Advisory Panel and Board. Funding of a research proposal does not guarantee funding for an outreach proposal. Proposals selected under this new initiative will receive funds under a separate award to be managed by the NPRB Communications and Outreach Director, Brendan Smith. Outreach awards will be subject to all general conditions outlined in Section 7. Award Administration. The Outreach Award is designed to be granted to a single organization, but it is not restricted to the lead organization of the research proposal. Refer to NPRB’s [Communications and Outreach](#) webpage for general communications and outreach information. Click on [Tools and Resources](#) for helpful resources when building outreach plans or developing products.

Specific instructions for each section are provided below and repeated online at the top of each webpage. Word or character limits are posted for those sections with restrictions. Applicants must use all required templates for the Budget and Signature sections. Templates can be downloaded from the relevant pages within the system. Any PDF files uploaded must be unlocked to allow for integration into the proposal review document.

If you begin an outreach proposal, but decide to revert to the standard outreach option, you must delete the outreach proposal in order to proceed.

Outreach proposals are distinguished from primary research proposals within the submission system by the identifier “Outreach,” and include the following sections:

- 1. Outreach Title and Period.** Title and period will be automatically imported from the companion research proposal.
- 2. Outreach Contacts**
 - a. Investigators.** Please see Research Proposal Preparation for available categories. A proposal Applicant and lead PI are required. Communication and Outreach professionals may be considered Investigators. Full contact information is required. The Investigators for the outreach proposal do not have to exactly match the PI listing of the research

proposal. Only one institution may request funds, however, contracts within the subaward are allowed.

- b. **Grants Managers.** Person responsible for the financial administration of the grant (e.g., Office of Sponsored Programs). Full contact information is required.
3. **Outreach Design & Approach (1,000 words).** Outreach plans should be aligned with the research objectives and target at least one audience or stakeholder group separate from the scientific community. Plans should have clearly defined background, justification, objectives and approach. Where possible, include where your research retains stakeholder relevance. **Fact sheets and/or a webpage** describing the project are not acceptable forms of standalone outreach plans. University student research, publications in peer-reviewed journals, or presentations at scientific conferences **do not** fulfill the outreach conditions. Optional Figures and Tables should be uploaded in the Supplemental Documents section. **Proposers working in or near coastal communities must provide a letter of support at the time of submission.**
4. **Outreach Descriptors**
 - a. **Audience.** Select all applicable target audiences from the checklist.
 - b. **Deliverables (100 words each).** Include each outreach product as a separate line item complete with the number of intended products and their anticipated production and distribution. For example, if a children's board game is the intended product, there may be five different board games developed of which 500 of each would be produced and distributed.
 - c. **Assessment goals.** Assessment goals are required to determine the overall success of each outreach initiative. Set challenging, meaningful, and measurable goals for your outreach deliverables. Examples include setting a target number of blogposts, measuring the number of unique visitors to a website, determine an expected number of presentation participants, or tracking the number of youth participating in a classroom experiment.
5. **Outreach Budget (template).** Cost sharing is not required, but leveraging of other support is encouraged.
 - a. **Overview.** Identify the Institution requesting funds and the total amount of each budget. Any in-kind or other support should also be entered here. **The total requested amount must not exceed \$15,000.**
 - b. **Budget (required template).** Complete and upload the provided Excel template. If further explanation of budget item(s) is required, it may be uploaded in the Supplemental Documents section.
6. **Supplemental Documents (Figure, Table, MOUs, Permits, Letters of Support, Quotes, Budget Supplement).** All uploads in this section are optional and should be in PDF format. **Proposers working in or near coastal communities must upload a letter of support at the time of submission.**
7. **Signature Page.** The system will generate a signature page for your organization. The signature on this page certifies that the proposal, in its entirety, has been submitted according to your organizations' standard proposal approval process. The proposal Applicant, e.g., authorized organizational representative, should sign this page.

Signature pages are due at the time of proposal submission.

8. **Review & Submit.** This page will guide you to address any missing documents or input, providing error messages that link to any page with missing or incomplete information. The system will not allow you to submit until all of the error messages have been resolved. **It is highly recommended that you preview your proposal prior to submission by downloading a PDF of your proposal, using the download button labeled “PDF” found in the upper right of each page.**

Contact Brendan Smith | brendan.smith@nprb.org for inquiries on this new opportunity.

The online system will close promptly at 4 pm on Friday, December 16, 2016 (Alaska Standard Time). Submission well in advance of the deadline is highly recommended.

V. Process & Review

Proposal Confidentiality. Proposals are confidential until the U.S. Secretary of Commerce approves them for funding. All proposals that are submitted but not funded are retained at the NPRB office for internal records. Proposals that indicate their willingness to be considered for co-funding opportunities may also be reviewed by the Board and advisory bodies of the Oil Spill Research Institute, Pollock Conservation Cooperative Research Center, Bering Sea Fisheries Research Foundation and the NOAA National Centers for Coastal Ocean Science. Title & Period, PIs, Funds Requested and Summary pages of unfunded proposals may be made public. The Design and Approach, Timelines and Milestones, CVs, and Letters of Support for funded projects may be available to the public on the NPRB website. Budget information will remain confidential.

Responsiveness. Proposals are screened for responsiveness to the current RFP. An *ad hoc* committee of Science Panel members may be convened for complex proposal issues. Proposals that do not meet RFP requirements or responsiveness standards will be disqualified. Notification and rationale for disqualification are provided to the applicant. No proposal will be accepted after the deadline.

Peer review. Proposals that pass initial screening by NPRB staff are forwarded to independent peer reviewers, with the goal of three evaluations per proposal. Regional, national and international experts are invited following the NPRB Conflict of Interest Policy. The review format includes both comment and qualitative assessments. Each section is ranked as poor, fair, good, very good and excellent.

Science Panel Review. Two Science Panel members are assigned to each proposal to provide individual peer reviews as well as a summary presentation to the full panel that incorporates the findings of the external peer comments and rankings. This evaluation includes two distinct rounds of review.

Each proposal is assigned into one of the following Tiers in the first round of review:

Tier 1. Excellent/Very Good. Proposals with minor non-science related issues (e.g., budget or permitting) may be assigned a conditional status. Proposals with minor science issues are automatically moved to Tier 2. The Science Panel will clearly identify the conditions to be met if the proposal is selected for funding.

Tier 2. Very Good/Good. Proposals with minor non-science related issues (e.g., budget or permitting) or science related issues may be assigned a conditional status. The Science Panel will clearly identify the conditions to be met if the proposal is selected for funding.

Tier 3. Fair/Poor. Tier 3 proposals require substantial revision, are the least likely to succeed, and are not candidates for funding. The Science Panel may forgo detailed discussion of this tier,

however, they retain the option to revisit these proposals at any time prior to final recommendations to the Board.

The second round of review will occur after the panel has been given access to the documents for any Tier 1 proposal championed by a Science Panel member for additional recognition, for a potential designation of Tier E:

Tier E. Exceptional. Proposals deemed as exceptional science with an additional element of time sensitivity, technical robustness or specific responsiveness to the RFP.

Advisory Panel Review. The Advisory Panel will review proposals for special stakeholder, public interest, or community and other societal relevance. The Advisory Panel will be provided full proposal materials and Science Panel summaries for Tier E, 1 and 2 proposals. The Advisory Panel will highlight those proposals deemed as having significant stakeholder, community or other societal relevance for Board consideration.

Board Review. The Board will consider peer evaluations, Science Panel recommendations and Advisory Panel input. The Board will not consider Tier 3 proposals. Scientific merit will be the primary criterion, however, other factors may be considered, including but not limited to:

1. Pressing fisheries management needs
2. Ecosystem information needs
3. Other projects currently funded on a similar topic
4. Overlap with other ongoing programs
5. Competitiveness relative to other proposals of equal merit within a topical area
6. Category target funding amounts published in the RFP
7. Previous performance of applicants.

Proposals that receive conditional funding by the Board will be asked to submit a revised proposal which specifically addresses all concerns. NPRB Staff will be responsible for the review and approval of revised statements of work. Members of the Science Panel or Board Executive Committee may be consulted during this process. The Board will document their decision, including rationale for any deviation from Science Panel recommendations.

Peer reviews, Science Panel summaries and Board recommendations will be provided to the applicant. The exact award details will depend upon the requested duration of funding, the decision of the NPRB on funding amount, the results of post-selection negotiations between the applicant and NPRB staff, and review by NPRB and Department of Commerce officials.

Consultation with Interested Parties. Throughout the proposal review process, the Board and staff may consult with NOAA and other federal and state agencies, the North Pacific Fishery Management Council, and other entities, as appropriate, who may be affected by or have knowledge of a specific proposal or its subject matter.

Secretary of Commerce Review. All recommendations of the Board are subject to final approval by the Secretary of Commerce, who must ensure that the project recommendations are consistent with the terms of the NPRB grant award, federal law and the enabling legislation. Projects recommended for funding by the Board may be denied approval upon the review of the Secretary of Commerce.

VI. Timeline

Release of 2017 RFP	September 28, 2016
Online Submission System Opens	September 28, 2016
DEADLINE FOR PROPOSALS	December 16, 2016, 4 pm AKST
Peer Review	January – March 2017
Science Panel Review	March 2017
Advisory Panel Review	April 2017
Board Review	May 2017
Submission to Secretary of Commerce	May 2017
Notification to PIs	May 2017
Award document preparation	June – July 2017
Research Commences	No earlier than July 1, 2017

VII. Award Administration

The 2017 RFP is a solicitation of offers and should not be construed as an expectation of award. The NPRB is not obligated to award any specific project, number of projects or available funds. No oral statement by any person can supersede or modify the terms of this RFP. In accordance with federal statutes and regulations, no person shall be excluded from participation in, denied the benefits of, or be subjected to discrimination under this program on grounds of race, color, age, sex, national origin, religion, marital status, pregnancy, parenthood, or disability.

1. All federal, state, private, and foreign organizations are eligible to respond to this request for proposals. There are no limits on the number of proposals per organization. There is no restriction on who can serve as the PI of a proposal. There are no limits on the number of proposals on which an individual may serve as the PI.
2. Recipient organizations must have a DUNS number (<http://fedgov.dnb.com/webform>) and an active registration in www.sam.gov, before any award can be issued. Recipient organizations required to have a single or program-specific audit will be required to submit a copy of their most recent single or program-specific audit for review before any award is made.
3. **Awards are structured as reimbursable funds with quarterly invoicing.**
4. All organizations requesting funds will receive separate subawards for their identified budget. However, the lead PI of the project is responsible for directing the work and ensuring that reports and deliverables are timely. Only one report is required for each collaborative project.
5. Awards may be eligible for a one-time no cost extension of up to 12 months at the discretion of NPRB staff, if requested with justification more than 30 days prior to the end of the award period.
6. International travel requires federal approval prior to ticket purchase, which may take up to three months to process. It is the funded Investigator’s responsibility to initiate the foreign travel request process with NPRB staff once the proposal has received funding. “Fly America Act” (49 USC § 40118) regulations apply to all travel.

7. Recipient organizations will be required to comply with all federal, state and local laws and regulations, including, but not limited to: Department of Commerce Financial Assistance Standard Terms and Conditions (01/05), and NOAA Administrative Standard Award Conditions (10/2010 and 12/2014). Recipients will also comply with all applicable federal, state, and local laws and regulations including, but not limited to: Title 49 of the United States Code 40118 (commonly referred to as the “Fly America Act”), OMB Circular A-110, OMB Circular A-133, and the applicable federal cost principles found in OMB Circular A-21, OMB Circular A-87, OMB Circular A-122, or FAR 48 CFR Part 31. Grant Awards may also be subject to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), which is codified at 2.C.F.R Part 200. In effect as of December 26, 2014, this final guidance is a streamlining of the Federal government’s guidance on administrative requirements, cost principles, and audit requirements for Federal awards. It supersedes requirements contained in OMB Circulars, A-21, A-87, A-102, A-110, and A-133.
8. Responding proposals are firm offers and shall remain open for the NPRB to accept any time before July 1, 2017, in accordance with a standard NPRB agreement for the performance of the work proposed. A proposal is accepted only when NPRB sends the applicant written approval and has a fully executed agreement. A proposal accepted for funding does not obligate NPRB to provide additional future funding.
9. The applicant is responsible for obtaining all federal, state, and local governmental permits and approvals for projects or activities to be funded under this announcement (e.g., Section 404 or Section 10 permits issued by the U.S. Army Corps of Engineers, experimental fishing or other permits under federal fishery management plans, scientific permits under the Endangered Species Act and/or the Marine Mammal Protection Act, Coast Guard vessel safety). All experiments must be conducted in compliance with the law, and only pursuant to mandatory permitting duly granted by the appropriate federal and state agencies. Requirements for special permits, such as those required for taking marine mammals, should be clearly described and indicate whether the permit is in possession or not. Failure to comply may result in the cessation or termination of the project and may lead to other action that could preclude the issuance of future awards to the applicant. As a condition of funding, all award recipients must make available, upon request, access to any books, documents, papers, and records that are directly pertinent to a specific program for the purpose of making audits, examinations, excerpts, and transcriptions.
10. Researchers applying to do research involving human subjects are expected to demonstrate compliance with regional protocols for researcher/community interactions or the specific human subjects screening done by most academic institutions and agencies. The purpose is to ensure that privacy is protected, data are collected in a suitable manner, data are maintained in a secure environment, and results of any study are made available to participants if they indicate their interest.
11. Funded participants are wholly responsible for the conduct of research, submission of required reports, and preparation of the results for publication. Significant deviation from the proposed activities and deliverables requires prior NPRB approval. Participants will be required to submit semiannual progress reports. Failure to submit timely reports or to meet project objectives due to problems in program management, may result in withheld payments.
12. Funded participants will be required to provide a final report package within 60 days of the end of the project that consists of a written report in the current format, a copy of the data associated with the project and associated metadata, and project synopsis. Failure to complete, or to adequately

address missing components, may result in withheld payments of final project costs.

13. All institutions awarded funding must agree to NPRB's standard "Applicable Law, Jurisdiction and Venue" clause unless prohibited by law. The clause reads: *This Agreement shall be governed by the laws of the State of Alaska except to the extent preempted by United States federal law. Jurisdiction for the resolution of any dispute between the parties shall be the state or federal trial courts of Alaska. Venue for the trial of any case shall be Anchorage, Alaska.*
14. All institutions awarded funding must agree to NPRB's standard "Hold Harmless and Indemnification" clause unless prohibited by law. The clause reads: *Each party to this Agreement agrees to defend, indemnify and hold harmless the other party from and against any and all claims, liabilities, losses, expenses, fees (including attorneys' fees), and damages arising from or pertaining to the performance of this Agreement, but only in proportion to and to the extent such claims, liabilities, losses, expenses, fees (including attorneys' fees), and damages are caused by or result from the negligent or intentional acts or omission of the indemnifying party, its officers, agents or employees.*
15. NPRB's Compliance Policy <http://www.nprb.org/nprb/about-us/#policies> will be part of all awards. The policy was finalized in March 2009 based on federal law that governs award agreements and on comments received in response to an interim compliance policy from the National Oceanic and Atmospheric Administration's (NOAA) Federal Law Assistance Division, the National Science Foundation, and grants managers from five major research institutions.