

Full proposals are to  
be submitted by invitation only.

# FY 2009 Place-based Solutions to Land Use and Climate Change Impacts Funding Opportunity

## Preliminary Proposal Guide

September 30, 2008



Cooperative Institute for  
Coastal and Estuarine  
Environmental Technology

## Table of Contents

I. Request for Proposals .....	3
II. Preliminary Proposal Preparation .....	3
III. Preliminary Proposal Submission .....	6
IV. Preliminary Proposal Evaluation .....	6
V. About CICEET .....	6
VI. Glossary of Terms.....	7

## Ask Us

Feel free to call CICEET with questions about any aspect of this RFP. Clarifying the requirements of this funding opportunity before you submit will improve your proposal's chance of success.

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**The deadline for receipt of your preliminary proposal by CICEET is 1 p.m. (1300 hours) EST, on Monday, November 17, 2008.**

This proposal guide is also available online:  
[http://ciceet.unh.edu/funding/rfp\\_2009](http://ciceet.unh.edu/funding/rfp_2009)

The online version has direct links to resources that are not presented in the printed version. CICEET strongly recommends that all potential applicants consult the web version of this guide before preparing a preliminary proposal to submit to this RFP.

## I. Request for Preliminary Proposals

CICEET invites preliminary proposals to its pilot FY 2009 Place-based Solutions to Land Use and Climate Change Impacts Funding Opportunity. Approximately \$500,000 dollars will be available to fund between two and eight projects of one to two years in duration. This Request for Proposals (RFP) is open to any National Estuarine Research Reserve System (NERRS) staff working in partnership with applicants from the United States academic, private, or public sectors. To be eligible for funding, proposals must name a NERRS staff member as the project's principal investigator or as a co-investigator. Researchers from institutions outside the U.S. may be included as additional investigators, but cannot be principal investigators.

### Goals for this RFP

Preliminary proposals must address the dual impacts of land use and climate change on coastal resources and communities, as they relate to specific needs that have been identified as priorities by a NERR (or group of NERR sites) and surrounding communities. The following are the goals for this pilot RFP:

- A. Fund place-based technology development, refinement, and/or demonstration projects that can be applied to address challenges related to the dual forces of climate change and land use change;
- B. Emphasize the use of sound, collaborative practices that facilitate the transfer of research into practical application;
- C. Identify ways in which NERRS and CICEET can use the competitive research process to advance mutual goals.

### Project Attributes

Projects must develop, refine, and/or demonstrate technologies that address place-based questions or problems related to the dual pressures of land use and climate change. Successful proposals will have the following Project Attributes:

- A. Technical: Develop, demonstrate, and/or refine technologies to help solve place-based coastal management challenges related to the dual forces of climate change and land use change;
- B. Collaborative: Ensure collaboration between scientists, intended users of the science, and other relevant stakeholders throughout the project;
- C. Evaluation/adaptation: Use evaluative tools to improve the project (formative evaluation) and to assess the degree to which the project achieves its anticipated outcomes (summative evaluation);

D. Knowledge Dissemination: Use appropriate, intended user-driven dissemination strategies to ensure that successful technologies and research results are communicated to other NERRS sites and the broader coastal management community.

For this RFP, "technology" is defined as the systematic use of knowledge or tools to better understand or interact with the environment. Examples include engineering designs, best management practices, ideas, instrumentation, protocols, decision support systems, models, and other information-based tools. CICEET welcomes a range of projects, from those focused on the early stages of technology development to those engaged in the demonstration of existing technology.

To promote the application of technology, this RFP emphasizes a collaborative approach to research, one that encourages researchers, intended users of technology, and relevant stakeholders to work together throughout the process of defining a problem and developing methods to address that problem. "Intended users" are defined as those most likely to use the results of the project to better manage natural resources. "Relevant stakeholders" are defined as individuals or organizations that have a direct financial, health, or professional interest in the project's outcomes, and would be instrumental in facilitating or preventing application of the technology.

### Intellectual Property Protection

Since the technology dissemination pathway is often not clear at the outset of a project, applicants are encouraged to take steps to protect the intellectual property of ideas at the proposal preparation stage, if appropriate. This will allow you to talk freely about ideas and avoid the inadvertent loss of intellectual property rights. For more information:  
[ciceet.unh.edu/funding/rfp\\_2009/rfp\\_resources.html](http://ciceet.unh.edu/funding/rfp_2009/rfp_resources.html)

## II. Preliminary Proposal Preparation

CICEET developed the following guide to preparing and submitting preliminary proposals for this funding opportunity. You must follow the instructions below when preparing your preliminary proposal. Preliminary proposals that do not address every narrative requirement in the proper order will be deemed non-compliant and will not be reviewed for funding. Preliminary proposal requirements are a subset of those you will be asked to address if you are invited to submit a full proposal. Therefore, in developing your preliminary proposal, it will be important to understand the larger context within which you will be asked to respond if you are invited to submit a full proposal. The guide to developing full proposals is available online at [http://ciceet.unh.edu/funding/rfp\\_2009/pdf/rfp\\_fullproposal\\_guide.pdf](http://ciceet.unh.edu/funding/rfp_2009/pdf/rfp_fullproposal_guide.pdf)

Each preliminary proposal must include the following:

- A. Title Page
- B. Narrative
  - 1. Problem Statement
  - 2. Project Overview
  - 3. Project Outcome(s)
  - 4. Approach
  - 5. NERRS Involvement
  - 6. Roles and Responsibilities
  - 7. Budget Justification
- C. Literature Cited
- D. Qualifications
- E. Budget Forms

#### A. Title Page

CICEET requires all title pages to be in a standard format. The title page template is available online at [http://ciceet.unh.edu/funding/rfp\\_2009/rfp\\_forms](http://ciceet.unh.edu/funding/rfp_2009/rfp_forms)

#### B. Narrative

Narratives are not to exceed five (5) single spaced pages with one-inch margins. They must be formatted in "Times" 12-point font and use CICEET's headings for each section. Narratives must include the following sections in the following order:

- 1. Problem Statement
- 2. Project Overview
- 3. Project Outcome(s)
- 4. Approach
- 5. Roles and Responsibilities
- 6. NERRS Involvement
- 7. Budget Justification

#### 1. Problem Statement

Briefly describe the specific regional or local coastal management problem that this project seeks to address. Describe how this problem is related to the dual forces of changing land use patterns and climate change. Include the location and any relevant natural science (biological, physical, etc.) and social (economic, political, regulatory, etc.) contextual information. Provide citations to show that the problem has been articulated by the coastal management community; reference any papers, workshop proceedings, needs assessments, etc. Briefly describe existing methods to address the problem and the technical/non-technical barriers that prevent them from being effectively applied. Briefly describe how/if the problem statement or barriers identified in your citations were validated and/or refined with intended users.

#### 2. Project Overview

Provide a brief overview of the proposed project activities that will contribute to a solution for the problem stated above. Identify whether your proposal is focused on technology development, refinement, and/or demonstration.

#### 3. Project Outcome(s)

Describe the outcome(s) your project is designed to achieve within the one- to two-year project period. Discuss how achieving the short-term outcome(s) associated with this project will contribute to a longer term solution to your stated local land use/climate change problem. Describe how your project takes into account barriers that prevent existing methods from being applied effectively. Please be focused and realistic about what you plan to accomplish within the one- or two-year scope of your project.

#### 4. Approach

Briefly describe and justify your approach for achieving project outcomes. Proposals must organize approaches under each of the four Project Attribute categories listed below. Because this RFP emphasizes collaborative research, proposals must describe approaches that incorporate input from intended users and relevant stakeholders. CICEET acknowledges that approaches you describe here may change as a result of the collaborative process. Applicants are encouraged to discuss their approaches with intended users as soon as possible, and have a plan for incorporating intended user input into the refinement of approaches. CICEET has provided resources that may be helpful in developing an approach to the collaborative process. These are available online:

[http://ciceet.unh.edu/funding/rfp\\_2009/rfp\\_resources.html](http://ciceet.unh.edu/funding/rfp_2009/rfp_resources.html)  
If you have not settled on an approach for a particular Project Attribute, please describe and justify your plan for doing so.

a. Technical: Develop, demonstrate or refine technology to address the stated land use and climate change problem.

b. Collaborative: Ensure collaboration between scientists, intended users, and other relevant stakeholders;

c. Evaluation/Adaptation: Use evaluation tools to make improvements during the project (formative evaluation) and to assess the degree to which the project achieves its anticipated outcomes (summative evaluation);

d. Knowledge Dissemination: Use appropriate, intended user driven dissemination strategies to ensure that successful technologies, scientific information, and lessons learned are communicated to other NERRS sites and the broader coastal management community.

**Please note:** If you are invited to submit a full proposal, you will be asked to describe in detail the methods you will use for each Project Attribute including the model you will use for your collaborative approach. Please refer to CICEET's guide to preparing full proposals to this funding opportunity at [http://ciceet.unh.edu/funding/rfp\\_2009/pdf/rfp\\_fullproposal\\_guide.pdf](http://ciceet.unh.edu/funding/rfp_2009/pdf/rfp_fullproposal_guide.pdf)

## 5. Roles and Responsibilities

In this section, briefly describe the roles and responsibilities of investigators. An investigator may fill more than one role if he or she has demonstrated experience and it is justified in this narrative. However, the collaborative lead and technical lead cannot be the same person. Any investigator may serve as the principal investigator (PI).

### Mandatory Investigators:

Identify and justify who will fill the following mandatory investigator roles, and briefly describe their key responsibilities during the project period. If you have not yet identified an individual for one or more mandatory investigators, please explain your plan to do so, including the criteria and skill set requirements you will use to fill the role.

**Technical approach lead:** This person will oversee and coordinate technical aspects of the project. The technical lead and the collaborative lead cannot be the same person.

**Collaborative approach lead:** This person will ensure that the perspectives of all team members and intended users are represented in the collaborative process and that interactions are handled appropriately. This person will also be responsible for determining when and if interactions between team members and intended users would benefit from the participation of a neutral facilitator. The collaborative lead and the technical lead cannot be the same person.

**Evaluation/adaptation lead:** This person will develop and implement a plan for formative evaluation including setting clear targets, tracking progress toward those targets, and making any mid-course corrections that are needed as the project progresses. This person is also responsible for developing and implementing a summative evaluation plan and capturing key lessons learned from the project.

**Knowledge dissemination lead:** This person will ensure that intended users and relevant stakeholders have access to any information generated by this project. This person is also a lead on collecting relevant results, evaluation findings, and lessons learned for transferring to other NERRS sites and coastal managers.

### Additional Investigators:

If applicable, identify additional investigators or subcontractors with the skills necessary to achieve your project outcome(s). Briefly describe their role and responsibilities. If you have not yet identified an individual, please explain your plan including the criteria and skill set requirements you will use to fill the role.

**Please note:** Your project will require the participation of intended users and relevant stakeholders as a part of your collaborative process. Only mention them in this section if they will be named as investigators, with their time accounted for.

## 6. NERRS Involvement

Briefly explain why the NERR site(s) you have chosen is a good platform for conducting this project. How will the distinctive resources that the NERRS possess be used to meet project outcome(s)? Examples may include the use of existing data or previous research to develop or demonstrate the technology; taking advantage of the range of staff expertise to assist with different stages of the project; working with multiple reserves in a region; and using the NERRS to disseminate results.

## 7. Budget Justification

Please provide a brief budget justification that explains each item in the budget form, which is available online at [http://ciceet.unh.edu/funding/rfp\\_2009/rfp\\_forms.html](http://ciceet.unh.edu/funding/rfp_2009/rfp_forms.html)

Investigators from institutions other than that of the PI must be listed as subcontracts on the budget form and described in the budget justification.

Activities that should be accounted for in the budget and justified here include grant administration, technology development and application, data management and analysis, collaborative process activities, adaptive management activities, transfer, communication, and evaluation activities.

**Please note: The following sections—"C," "D," & "E"—are not included in the five-page Narrative limit.**

### C. Literature Cited

Please include complete listing of all cited work in the preliminary proposal.

### D. Qualifications

Please include a two-page *curriculum vitae* or résumé for each investigator described in the Roles and Responsibilities section.

### E. Budget Forms

You must submit one budget form for each year of your project, as well as a cumulative form. Download budget forms from [http://ciceet.unh.edu/funding/rfp\\_2009/rfp\\_forms.html](http://ciceet.unh.edu/funding/rfp_2009/rfp_forms.html)

## III. Preliminary Proposal Submission

The deadline to submit your preliminary proposal to CICEET is 1 p.m. (1300 hours), EST on Monday, November 17th. Your submission **MUST** be in the form of one electronic PDF file. Proposals sent in any other file format will **NOT** be accepted. Preliminary proposals will not be accepted after the deadline.

Please send your preliminary proposal as a single PDF e-mail attachment to: [submissions@ciceet.unh.edu](mailto:submissions@ciceet.unh.edu)

You must also send one signed hard copy of your preliminary proposal postmarked no later than Monday, November 24th. Please mail the hard copy to CICEET's Program Coordinator:

Cindy Tufts  
Gregg Hall, Room 130  
35 Colovos Road  
Durham, NH 03824

## IV. Preliminary Proposal Evaluation

CICEET will conduct an initial compliance review of preliminary proposals. Proposals deemed "non-compliant" will be eliminated from the competition, and CICEET will notify the applicants as quickly as possible. Preliminary proposals will be deemed "non compliant" for failure to do one or more of the following:

- A. Follow the narrative structure as outlined;
- B. Include all required information (*curriculum vitae*, budget forms, etc.);
- C. Follow directions with regard to formatting and submission procedures.

A panel comprised of a multidisciplinary group of intended users, collaborative research experts, and scientists and engineers in appropriate disciplines will review compliant preliminary proposals. The panel will use the review criteria below to determine which applicants will be invited to submit a full proposal. Applicants will be notified of the outcome of the panel via email.

### Evaluation Criteria

#### 1. Problem statement:

To what extent is the problem related to the dual forces of land use and climate change? How well does the proposal make a case that the described problem is an articulated challenge for the NERRS and/or coastal management community? To what extent does the proposal make the case that existing solutions

are inadequate to overcome identified technical and non-technical barriers? To what extent have the investigators validated the stated problem with intended users?

#### 2. Project Outcomes

To what extent are the project outcomes described realistic for the time frame and scope of the project? What is the likelihood that achieving the outcomes will contribute to solving the problem described? To what extent do the outcomes account for the technical and non-technical barriers that prevent existing methods from being applied effectively?

#### 3. Approach

To what extent does the proposal make a case for their approach to each project attribute in order to achieve project outcomes? If an approach has not been described for a certain attribute, does the proposal describe a sound plan for doing so?

#### 4. Roles, Responsibilities and Qualifications

To what extent does each of the identified investigators possess the skills, experience and qualifications necessary to fill the four mandatory lead roles? If team members have not been identified for any of the mandatory or additional roles, does the applicant provide a sufficiently detailed plan for how individuals will be selected? Are there other skill sets that should be added to increase the likelihood of achieving project outcomes?

#### 5. NERRS Involvement

How well does the proposal make the case that the team will utilize the distinctive resources and capacity of the NERRS to meet anticipated outcomes and advance their proposed solution?

#### 6. Proposed Budget

To what extent is the budget appropriate for the work proposed?

## V. RFP calendar

Preliminary proposals due: November 17, 2009  
Full proposals (by invitation only) due: March 5, 2009  
Applicant rebuttal to peer reviews due: May 5, 2009  
Notification of funding decisions: June 17, 2009  
Funded project start date: July 15, 2009

## VI. About CICEET

The Cooperative Institute for Coastal and Estuarine Environmental Technology (CICEET) develops and applies technologies to detect, prevent, and reverse the impacts of coastal pollution and habitat degradation nationwide. CICEET is a partnership of the National Oceanic and Atmospheric Administration (NOAA) and the University of New Hampshire (UNH).

As a needs-based organization, CICEET works with coastal resource managers around the country to identify their priority environmental challenges. This analysis forms the basis of competitive funding opportunities that call for projects to develop, demonstrate, and implement technology-based solutions that coastal managers can apply to address these issues. These funding opportunities are designed to ensure a high level of collaboration between intended users of a technology-based solution and the research project team. You can learn more about CICEET's projects on Project Explorer, a searchable online database: <http://ciceet.unh.edu>.

Since CICEET's creation in 1997, the National Estuarine Research Reserve System (NERRS) has been an essential partner. As place-based programs, NERRS sites have strong relationships with local communities. At the same time, they are part of a national network through which scientists, educators, and managers in different locations can collaborate strategically to advance common goals. This combination makes Reserves ideal places to develop, refine, test, demonstrate, and disseminate technology that can be applied to improve resource management in the NERRS and the broader coastal management community.

## VII. Glossary of Terms

**Access:** The ability, right, or permission to locate or use a technology.

**Application:** The use of technology to detect, prevent, or reverse the impacts of pollution and/or habitat degradation on coastal ecosystems and communities.

**Collaborative Process:** Research that involves interaction between scientists, intended users and stakeholders within a formal and structured process at every stage of the research endeavor including: problem definition, research design, data analysis, connecting data to management implications, and dissemination of results.

**Decision Maker:** Individuals or organizations that are responsible for selecting a course of action that directly impacts coastal natural resources.

**Development (Urban and Agricultural):** Human induced landscape alteration resulting in changes to natural systems and subsequent changes in the condition of local water, soil, air, and biota.

**Dissemination:** The process of sharing technology to ensure that it is accessible to a wider range of coastal managers and technology innovators who can use it to address local problems, or to develop new tools. Dissemination practices include, but are not limited to, workshops, trainings, the distribution of outreach publications and multi media products, peer-reviewed publications, and presentations at conferences.

**Effectiveness:** The degree to which an activity, technology, process or person has achieved outcomes.

**Evaluation:** The systematic collection of information about activities, characteristics, and outcomes of projects to make judgments about the project, improve effectiveness, or inform decisions about future programming.

**Formative Evaluation:** The process by which investigators strengthen or improve the project while it is happening—they help form it by examining the delivery of the program or technology, the quality of its implementation, and the assessment of the organizational context, personnel, procedures, inputs, and so on. Formative evaluations allow a project to make course corrections based on information that is collected during the work period.

**Intended User:** Those people targeted by a research project as the people most likely to use the results of the project to better manage natural resources.

**Partners:** Organizations or individuals who commit to share responsibility for achieving an agreed upon goal and attendant outcomes. All members must dedicate resources to meeting the goal and the partnership should result in outputs such as documents, workshops, funding opportunities, demonstration projects, etc.

**Summative Evaluation:** The process by which investigators examine the effects or outcomes of the project. This process involves describing what happens subsequent to the project; assessing whether the project can be said to have caused the outcome; determining the overall impact of the causal factor beyond only the immediate target outcomes; and sometimes estimating the relative costs.

**Stages of Research:** The intellectual phases of a research project, including defining the research question, designing and conducting research, demonstrating or verifying research, communicating results of research to intended users, and/or linking research to policy.

**Technology:** A systematic use of knowledge or tools to better understand or interact with our environment. Engineering designs, best management practices, ideas, instrumentation, protocols, decision support systems, models, and other information-based tools.

**Technology Development:** The process of identifying a problem and then designing, testing, demonstrating or implementing a technical solution.

**Transferability:** The degree to which a technology or process can be applied in more than one place, in more than one situation, or at more than one point in time.



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