

The **Northeast Consortium** was created to encourage and fund effective, equal partnerships among commercial fishermen, scientists, and other stakeholders to engage in cooperative research and the development of selective fishing gear technology.

Goals of the Northeast Consortium

- Develop partnerships between commercial fishermen and scientists, educators, and coastal managers;
- Enable commercial fishermen and commercial fishing vessels to participate in cooperative research and the development of selective gear technologies;
- Help bring fishermen's information, experience, and expertise into the scientific framework needed for fisheries management; and
- Equip and utilize commercial fishing vessels as research and monitoring platforms.

Procedure for Distribution of Funds

The distribution of funds is via an open competition administered by the University of New Hampshire on behalf of the Northeast Consortium. Funding decisions and recommendations are made by the Northeast Consortium Representatives, based on recommendations from a review panel comprised of Northeast Consortium Advisory Committee members and additional reviewers (as needed for disciplinary breadth), including commercial fishermen; scientists; and representatives of governmental, quasi-governmental and non-governmental agencies and organizations.

Guidelines for Preparation of Proposals

The Northeast Consortium has an obligatory Planning Letter process. Only proposals that have been encouraged for submission after evaluation of the Planning Letter will be reviewed. Proposals must include as key participants both one or more scientists (e.g., faculty or staff members at institutions of higher learning or accredited research facilities, or employees of state or federal programs or agencies) and one or more commercial fishermen. All project participants should be specifically identified by name and position, with complete contact information. The Northeast Consortium encourages projects that allow and foster broad participation among researchers and fishermen.

Proposals must originate from one and only one organization authorized to receive federal research funding. The proposal must designate a project leader (i.e., principal investigator or P.I.), who will accept responsibility for the performance of the project and the administration of the Northeast Consortium award. The activities and budgets for all key project participants must be included in this proposal. Participants can be identified as sub-contractors, service providers, or other designation.

The Northeast Consortium seeks to fund projects that will be conducted in a responsible manner. Cooperative research projects should be designed to minimize any negative impacts to ecosystems or marine organisms, and to be consistent with accepted ethical research practices, including the use of animals and human subjects in research, and include scrutiny of research protocols by an institutional board of review or other appropriate institutional oversight body.

Specific Guidance for Proposal Preparation

Project duration: Projects should be of one or two years' duration; projects lasting three years are acceptable with appropriate justification. All projects longer than one year will be subject to annual review before subsequent funding is approved.

Distribution of funds: Cooperative research projects should be designed to meet the following Northeast Consortium target allocation proportion among partners: 25% to scientists (e.g., universities or research institutions) and 75% fishermen (e.g., fishermen, cooperatives, industry organizations). Funds designated for fishermen may include participants' salary and wages, vessel use, travel, equipment, and supplies. Designation of other project participants (including project coordinators, financial agents, etc) as either "science" or "industry" should be carefully justified in the proposal.

Costs for fishing vessel use: Budgeted costs for the use of fishing vessels should be based on actual costs and can include: captain and crew salaries and wages, fuel, vessel depreciation, insurance, permits, and other documented costs. Daily rates above \$2,500 are viewed as exceptional and require detailed documentation. [If desired, documents can be submitted separately from the proposal and proposers can request confidential use solely by Northeast Consortium staff.] Vessel time can be calculated to include preparation, loading, and unloading, and transit to work areas. If possible, participating fishermen should be paid using monitored fixed-price agreements, i.e., based upon a standard or fixed cost per trip or other event. Such arrangements can be made after approval for funding.

Disposition of catch Any project for which research will be conducted while fishing, using DAS, and/or intending to land and sell the fish should justify the reasons for this approach in terms of the project goals. When fish are caught during research efforts, the Northeast Consortium encourages the participants to sell the fish. Northeast Consortium policy requires 75% of the proceeds of sale to be returned to the Consortium for subsequent re-distribution through competitive award. 25% of proceeds may be used to provide additional support to the research program. Such proceeds must be used to support cooperative research activities, consistent with agreements made when the project is approved for funding.

Permits: The project leader is responsible for obtaining all appropriate, proper, and necessary permits for the proposed activities. If required, experimental fishing permits (EFPs) must be obtained from NOAA Fisheries prior to beginning field work. If desired Northeast Consortium staff will attempt to assist project leaders in expediting review of projects and obtaining permits, and (upon request) will send copies of approved project proposals directly to NOAA Fisheries. All projects must pass NEPA review before research activities may begin. NEPA review and permit application processes may cause delay in start date of approved projects. This is out of control of the Consortium and P.I's should plan accordingly.

Permanent equipment: Items costing more than \$5,000 are considered to be permanent equipment by the Northeast Consortium. Equipment may be designated to either science or industry in the proposed budget. All equipment will remain in the possession of the designated project participant for the duration of the project, and thereafter, subject to approval, for as long as it is being used for cooperative research. The Northeast Consortium may request reassignment of any equipment that is not being used for cooperative research activities at any time.

Travel: All proposals should include costs of travel for all project participants to the annual Northeast Consortium meeting (Portsmouth, NH). International travel should be carefully and specifically justified in terms of the project goals.

Budget forms: A sample budget form, showing the desired format, is enclosed and posted on <http://www.NortheastConsortium.org>. Proposers may use any easily-readable format that includes the requested information.

Proposal Format Requirements

Proposals must conform to content, format, and length guidelines provided here. All proposals must contain the following sections and elements. There is a strict 15 single-spaced page limit on proposals (sections 2 - 7 below), excluding cover page, literature cited, budget and budget justification, resumes, prior results, and current/pending support. Proposals must use 1 inch margins and 12 point font. Fifteen (15) copies of the proposal are required to allow for distribution to reviewers. Copies of the proposals cannot be returned to the proposers.

1. **Cover page:** Using the form provided (or a reasonable facsimile on one page), provide names and complete contact information for key participants, name and address of the lead institution, project title, abstract, and yearly and total budget request. The abstract should be a concise summary of the project (no more than 500 words), and should highlight the project goal(s), approach, expected results, and significance.
2. **Rationale:** Describe the justification or need for the proposed work in terms of the goals of the Northeast Consortium. Refer to the proposal evaluation criteria (below) and explain why this project is important for oceanographic or fisheries management or research, how it will enhance partnership opportunities among scientists and fishermen,

etc. Identify any anticipated linkages between this project and other cooperative research efforts, including those funded by other sources.

3. **Review of previous work:** Include a description of previous work in this and related fields. Proposals that build upon previous or ongoing cooperative research efforts should be sure to explain how the proposed effort is different from previous projects.
4. **Project objectives and scientific hypothesis:** Provide a clear statement of the project objectives and goals. If appropriate, clearly construct and state a testable scientific hypothesis.
5. **Project plan and experimental design:** Explain the conceptual and technical approaches for the project. Provide a detailed description of the experimental design (including numbers of samples, numbers of replicates, experimental controls, statistical tests to be used, etc.), project timeline, data analysis, and determination of the results. Use technically correct language and terminology, noting that proposals will be evaluated by a diverse panel of reviewers. Explain the need for experimental fishing permits, access to closed areas, and other special requirements.
6. **Personnel and available resources:** Describe the participants' expertise and experience in related activities. Briefly describe personnel qualifications or special resources, equipment or facilities, which demonstrate any special opportunity posed by the proposed project.
7. **Dissemination of results, impacts and end-users:** Provide specific information about plans and prospects for dissemination of the results of the proposed work, including publication, workshops, inclusion in databases, and others. Describe plans for submitting data to the Northeast Consortium Fisheries and Ocean Database (see <http://nec.who.edu/>) or other approach to data access. [Note that data resulting from Northeast Consortium projects must be made available via the Internet within an agreed-upon time frame.] Describe probable practical impacts, measurable products, and deliverables for ocean and fisheries management. Be specific about plans for integration of results into fisheries management (e.g., use by Fisheries Management Plan Development Teams, fisheries stock assessment) and/or adoption by the commercial fishing industry (e.g., use of new gear designs or configurations). Identify end-users by name or category (management councils or agencies, fishing industry associations, etc.). Explain in detail how the technology will be transferred and who will lead this effort.
8. **Literature cited:** Provide complete bibliographic citations including titles of all papers, books, and reports to which reference is made.
9. **Budget and budget justification:** Include a budget for each institution involved in the project, with detailed budgets for each subcontractor or service provider. Show the allocation of funding between science and fishing industry. Provide brief explanations of all budget items, paying particular attention to vessel costs. [Note that vessel cost

documentation will be held confidential upon request.] Fishermen should be paid using fixed-cost agreements when possible.

10. **Resumes of key participants:** Include a resume, with complete contact information, for each participant who will play a major role in the project (2 page maximum for each).
11. **Description of prior cooperative research results and impacts:** Describe previous cooperative research efforts, including any ongoing projects, by each participant in sufficient detail to allow evaluation of results, deliverables, and impacts. Include results from all projects previously funded by the Northeast Consortium and all other cooperative research funding initiatives.
12. **Current and pending support:** Provide a list of ongoing or proposed research projects (not just cooperative research) in which key participants are involved. For each project, indicate: funding agency or program, title of project, key participants, period of performance, amount of award, and time requested for key personnel.

Evaluation Criteria

Funding decisions for cooperative research projects will be based upon evaluation of proposals according to the following criteria (in priority order):

1. **Importance of the proposed idea for oceanographic and fisheries research and management.** The reviewers will consider whether the project is important to our understanding of oceans and fisheries and/or to our ocean, coastal or fisheries management practices. The proposal should address clear need(s) and important research question(s), and the project should produce results that have a real impact.
2. **Technical merit of the proposal and the project as proposed.** Reviewers will consider the feasibility of the project and the likelihood of it being successfully implemented as proposed. The proposal should contain a detailed and understandable experimental design that is appropriate for answering the question(s) posed in the project. The plan of work should be feasible, given the time, effort, personnel and budget, and likely to be successfully completed as proposed. The research should be conducted in a responsible manner that will not do unnecessary harm to ecosystems or marine organisms, or otherwise violate accepted ethical research practices (e.g., use of animals and human subjects in research, institutional review board's review of research protocol, if applicable).
3. **Opportunities for partnership between commercial fishermen and researchers.** Reviewers will analyze the quality and extent of the fishermen-researcher partnership(s). Reviewers will consider the extent to which a research topic is of mutual interest to fishermen and scientists, and whether members of both communities are key participants throughout the course of the project, from project design to data collection and analysis to practical application of the results or products. Reviewers will assess whether the proposal allows and fosters broad participation among scientists and fishermen.

4. **Impact of the proposed work on an end-user community.** Reviewers will consider the beneficial impacts of the project for fishermen, researchers, and/or fisheries, coastal, or ocean managers. Proposals should clearly identify the deliverables and the end-users. End-users may be included as participants in the project, if appropriate. Reviewers will assess whether the deliverables are useful, reasonable, and valuable, as well as the likelihood of their delivery to the end-users.
5. **Experience of the project proposers; available resources for the project.** Reviewers will appraise the experience and expertise of the key project participants, in light of the scientific topic, research methodology, fishing practices, and geographic areas of the proposed study. Reviewers will assess the capacity and availability of the project team, available equipment, and other resources to be used in the project. Reviewers will consider the results and impacts of any previous work, especially any research funded by the Northeast Consortium.
6. **Results from prior cooperative research support.** Reviewers will assess the results, deliverable products, and impacts of previously funded projects by the proposers, including: new cooperative partnerships; refined research questions; follow-on funding; peer reviewed publications; other publications for scientific, technical, or general audiences; and/or other impacts.

Note: reviewers are not asked to scrutinize the proposed budget, but they are asked to consider whether the project is realistic given the funding requested and good value for the overall funding level. Appropriateness and/or adequacy of requested amounts for salaries, supplies, equipment, and vessel costs are weighed as part of the evaluation of the likelihood of success of the project.

Proposal Submission

Proposals should be sent to:

Laurinda Sousa Smith
Program Coordinator
Northeast Consortium
University of New Hampshire
39 College Road, 142 Morse Hall
Durham, NH 03824
Phone: 603-862-0136

Proposals must be received by 5:00 p.m. on the due date, **Wednesday, June 28th, 2006**. Fifteen (15) copies of the proposal are required. **The Northeast Consortium does not accept proposals by email or fax.** Late proposals will not be considered. Proposers should be aware that U.S. Mail to Durham may be significantly delayed.