

A photograph of a research vessel, likely a Schmidt Ocean Institute ship, sailing on the ocean. The vessel is white with a dark hull and has various antennas and equipment on its deck. The background shows a hazy coastline under an overcast sky.

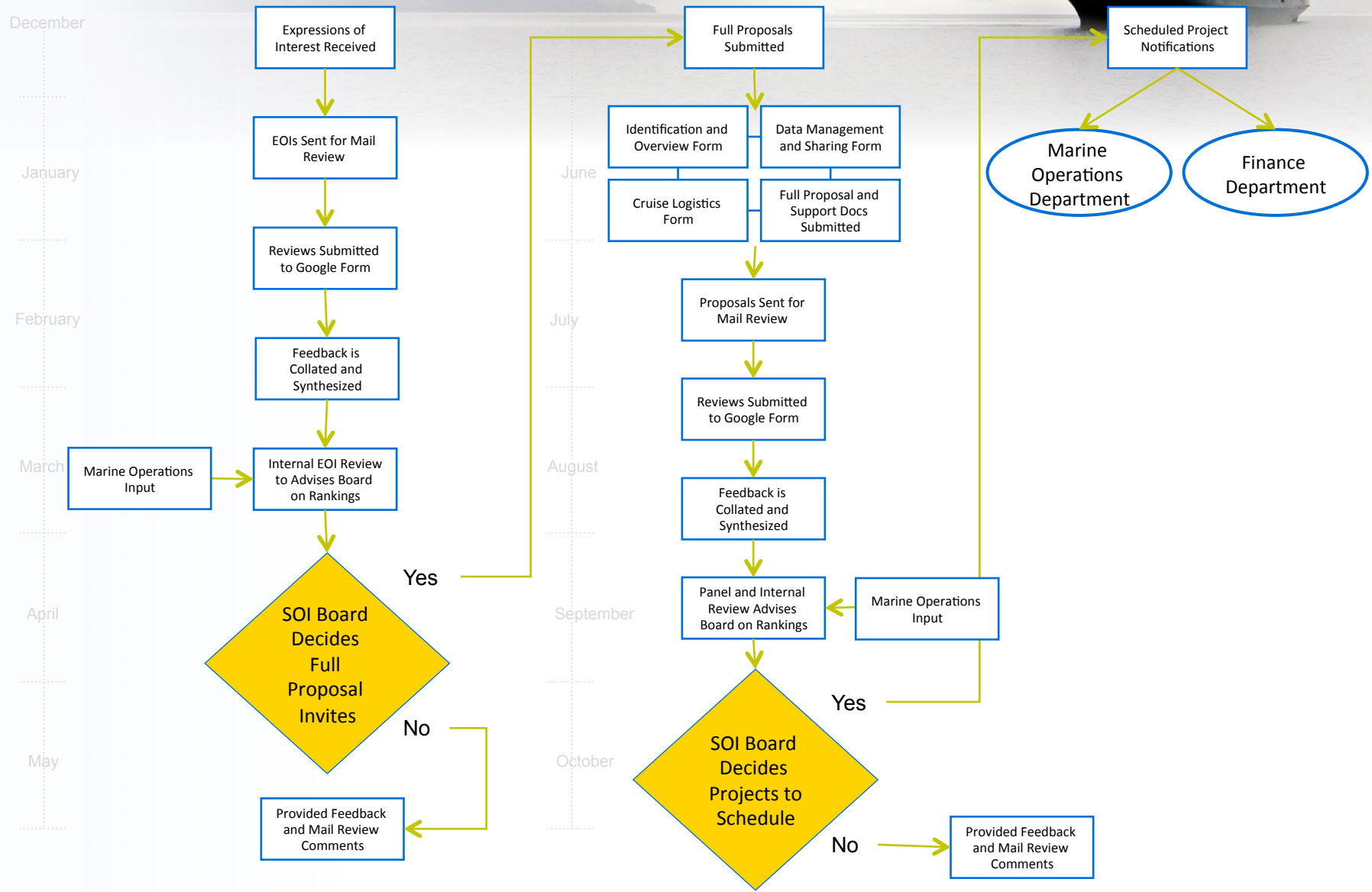
Schmidt Ocean Institute Research Program Review

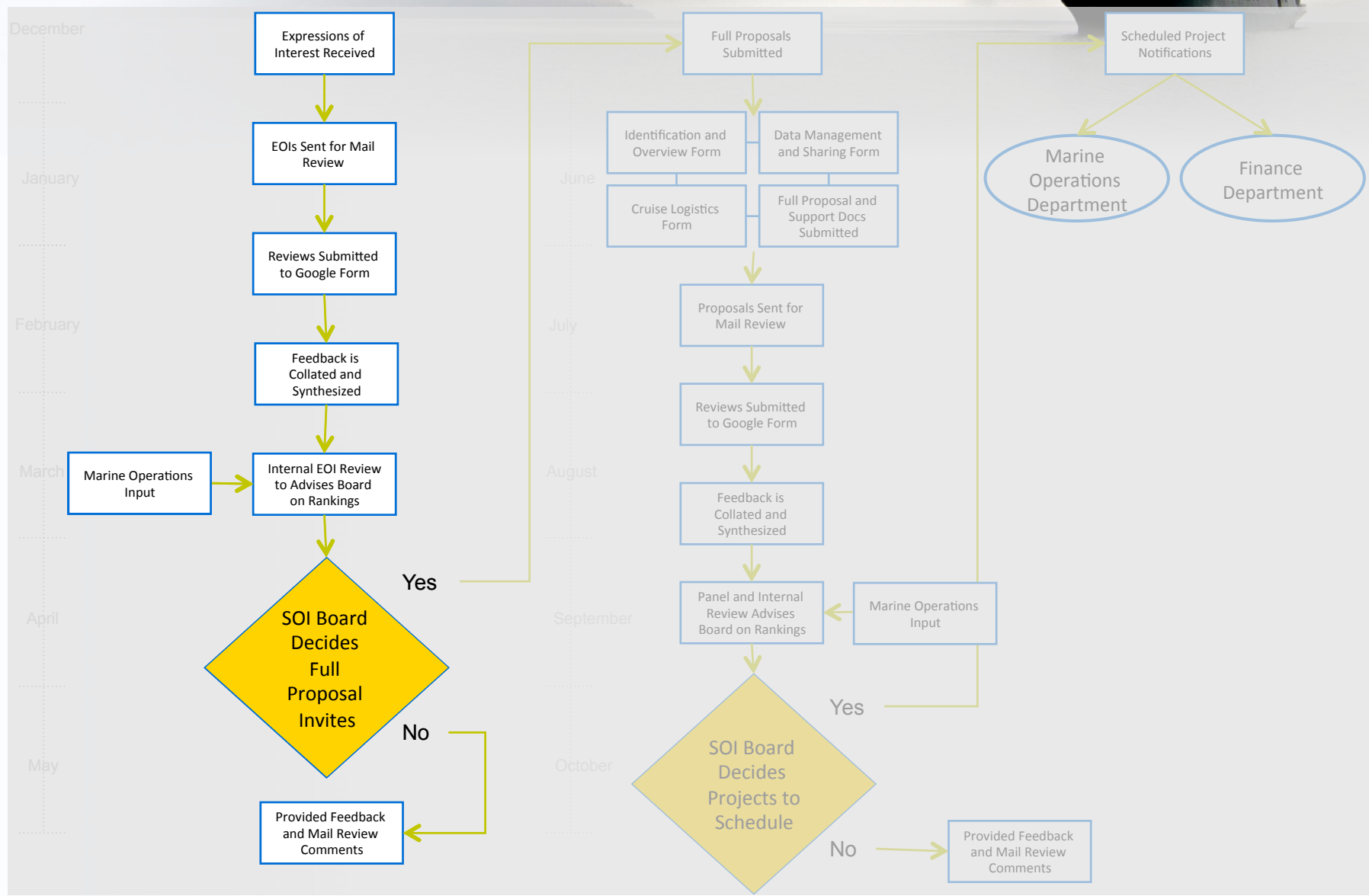
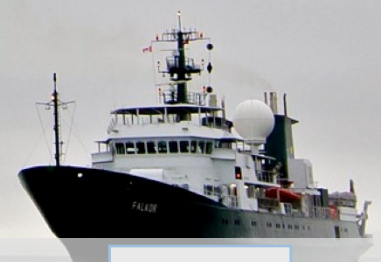
Proposal Review Process

What Projects We Support



- We provide free access to R/V Falkor, its on-board equipment, & associated technical services. We support projects closely aligned with our Strategic Focus Areas that also meet the following general criteria:
 - Proposals that will transform global ocean research through technological advancement, innovative scientific methods, procedures, and workflows
 - Projects that are likely to produce lasting global impact
 - Projects outside of conventional funding focus or high risk/high reward
 - Exploratory oceanographic research projects in hard to reach locations
 - Projects that will critically benefit from our support
 - Scientists who commit to openly sharing of the research findings and scientific data





Expression of Interest Format



• Format

- 1-2 pages written in single-spaced 12 point font
- Submissions in MS Word/PDF format accepted at **proposals@schmidtocean.org**

• **Composition**

- What is the goal of the project and intended impact?
- How would this work contribute to the strategic interests of SOI?
- Tentative cruise plan, including route and duration
- What R/V Falkor research facilities and instruments will be used?
- What additional equipment will be used and where will it come from?
- SOI does not support shore-side research components – how will they be funded?
- What innovative oceanographic technologies will be developed, tested, or utilized in the course of this project?

Expression of Interest Review Format

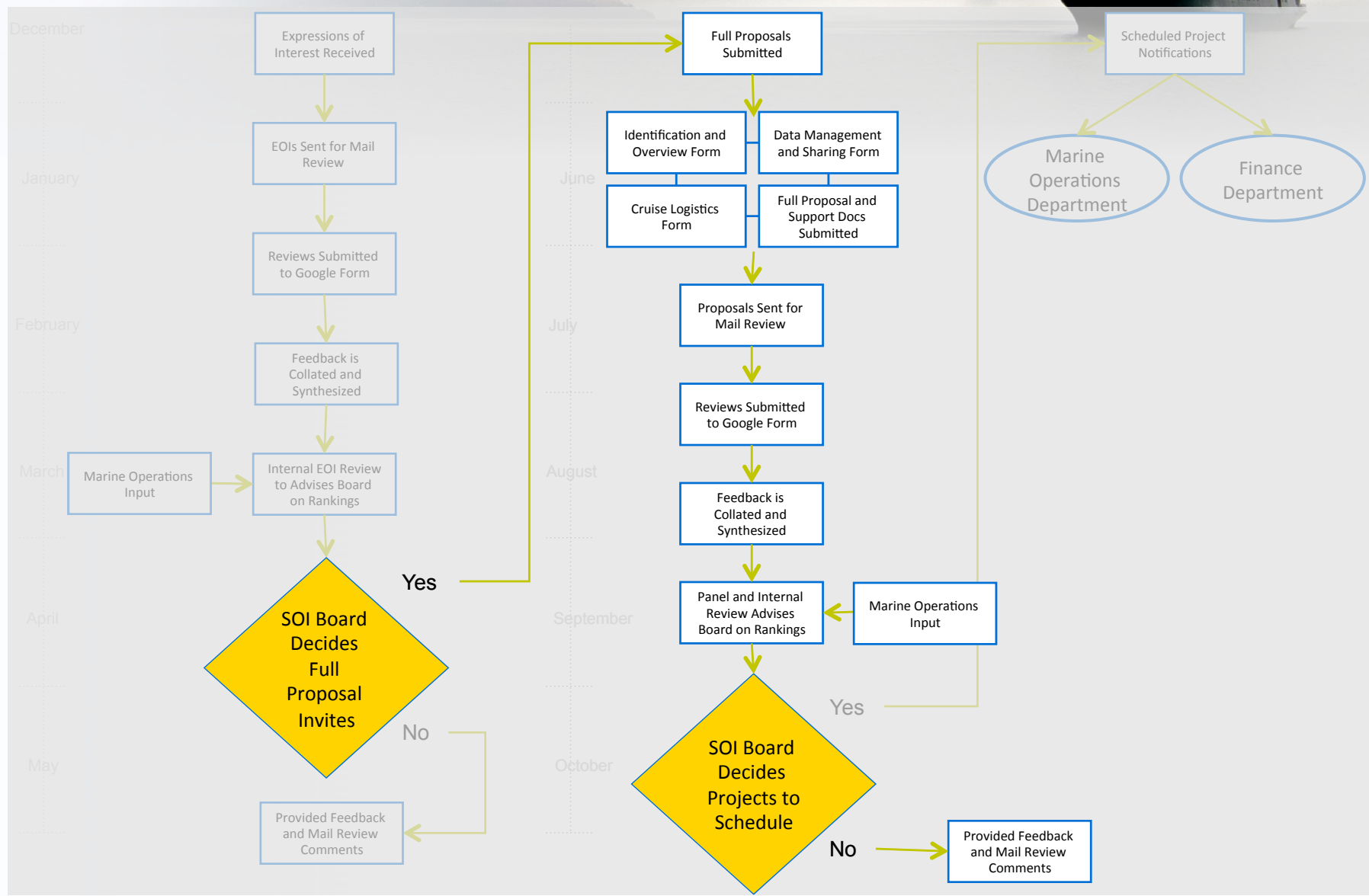
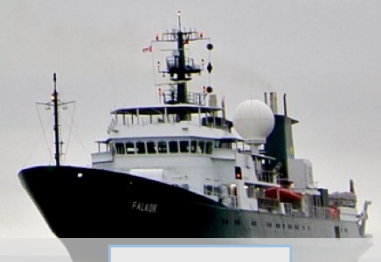


- Mail Review

- EOIs grouped by subject matter
- 3-4 non-conflicted, subject matter experts
 - Individuals are selected based on overall experience with relevant discipline
- Reviewers paid \$75.00 per EOI
- Reviewers provided links to SOI vision, mission, priorities and EOI guidelines
- Reviewers given ~4 weeks to complete reviews
- Reviews submitted via Google Form

- Panel Review

- SOI staff from Research Dept., Marine Ops., and Finance Dept., in addition to external advisors
- Reviews all EOIs submitted for fit to SOI (vision, mission, priorities), scientific merits, operational logistics, etc.
- Input provided by all Departments and voted on by Research Program and Marine Operations Directors
- An external, long term advisor has provided a scientific perspective vote for past panels
- Full Proposal invitation approval Requested for 25-30 EOIs of SOI Board of Directors



Full Proposal Format



- **Project Description**
 - 10 page maximum for body text written in single-spaced 12 point font
 - Includes Executive Summary
 - Research hypotheses or questions; Strategy and methodology; Related projects and competitive landscape; Intrinsic scientific value; Risks; Collaborative elements; Project deliverables; Results and Outcomes; Outreach program; and Educational opportunities
- **Data Management Plan**
 - Data generation activities; Roles and responsibilities; In-Project data management; Metadata and documentation; Data Quality; Funding for data management tasks; Complete a dataset description; and public access to knowledge
- **Logistical Requirements**
 - One page cruise plan detailing the day-by-day cruise schedule, on-board activities and preferred cruise track, additionally: number of days for mob/demob, preferred ports, number of days at sea, names and affiliations of shipboard party, on-board staffing requirements, diplomatic clearance needs, permit needs and dependencies on other projects
- **Equipment Requirements**
 - Desired supplies from Falkor's available equipment, Equipment requested for SOI to supply, and Equipment supplied by science party
- **Budget**
 - Instrumentation and Equipment needs; Staffing requirements (applicant); Shipping costs (applicant); travel costs (applicant); Current and pending external support needed
- **Related Pending Proposals**
- **Current and Pending Research Support**
- **Biographical Information (CVs)**

Full Proposal Mail Review



- 5-6 non-conflicted, subject matter experts
 - Individuals are selected based on direct experience with relevant disciplines
- Reviewers paid \$500.00 per proposal
- Reviewers provided links to SOI vision, mission, priorities and EOI guidelines
- Reviewers given ~4 weeks to complete reviews
- Reviews submitted via [Google Form](#)

Full Proposal Review Format



Panelist Identification

- Subject Matter Experts
 - Able to synthesize and present up to 5 proposals
 - Individuals are selected based on overall experience with relevant discipline
 - Have one or no conflicts of interest
- Panelists are provided an honorarium of \$3000.00
- Provided links to SOI vision, mission, priorities and EOI guidelines
- Provided all mail reviews

Panel Logistics

- Panel discussion begins with lead panelist providing a short summary and open to discussion
- Each proposal is given up to 30 minutes of discussion
- If a panelist has a conflict of interest they are asked to step out of the room for that proposal
- Following discussion panelists complete and submit confidential scoresheets
 - Panelists may skip scoring questions if necessary
- Panel schedule provides time to complete panel summaries on-site
 - Panel summaries must be completed within two weeks of panel
- Note-takers are present who will provide panelists with discussion notes to aid summary writing

Panel Logistics – Scoring Criteria

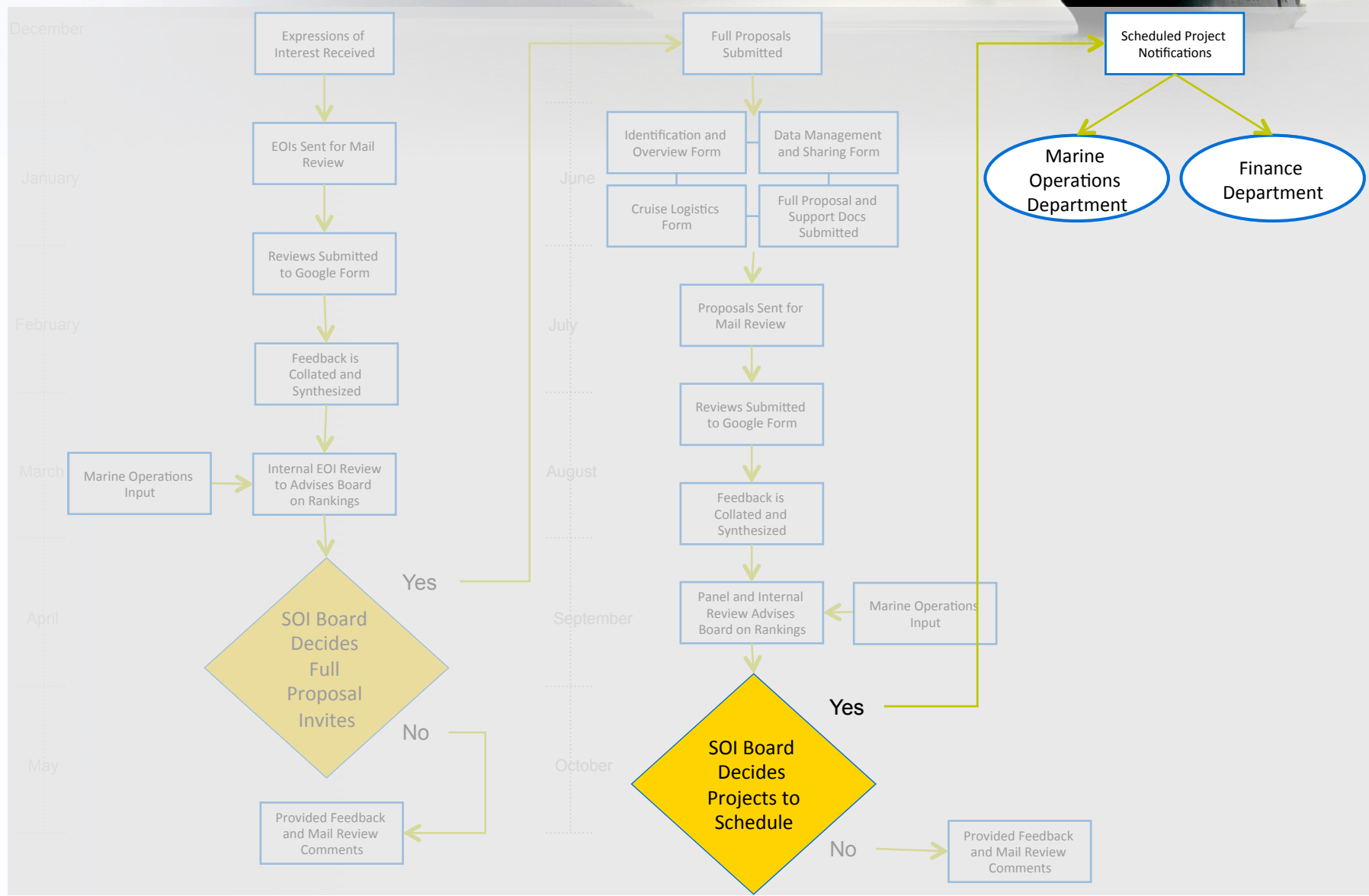
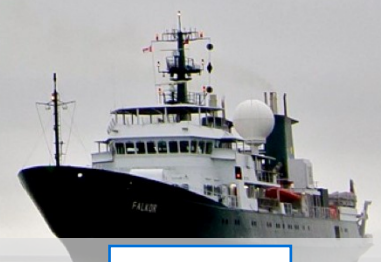


Proposal Evaluation against the SOI Strategic Focus Areas
<p>Opportunities to demonstrate innovation in marine scientific operations and practices</p> <p>How efficient are the proposed data collection methods? How well are the proposed research plans (for scientific observations, experimentation, data and sample collections at sea) informed by the analysis and interpretation of new observations and data collected during the cruise? How well are the proposed data collection platforms and methods matched to the proposed observations and research objectives?</p>
<p>Opportunities for the advancement of ocean research technologies, practices, and methods</p> <p>Do the project objectives include R&D, prototyping, or testing of new oceanographic technologies, practices, or methods? How significant are the implications of the proposed technology / methodology R&D for ocean sciences? How clearly is the proposed R&D approach articulated? How well does the proposed R&D approach address the key pertinent project challenges?</p>
<p>Evidence that the proposed research incorporates significant intrinsic scientific merit and impact potential</p> <p>How important is the proposed research for ocean sciences? How significant are the implications of the proposed research for the society? What is the quality of the proposed research plan? How comprehensively does the proposed research plan address the stated project objectives?</p>
<p>Quality of the data sharing plan</p> <p>How rapidly will the collected data be QA/QC'd, integrated, post-processed and shared with the public? What fraction of the data will be processed and streamed to the Internet in real time? How well is the data sharing plan adhering to the accepted community data management standards? How well are the proposed data repositories matched to the collected data types? Are there any data for which the mechanisms of sharing with the public are not well defined?</p>
<p>Quality of the proposed outreach plan</p> <p>How effectively will the data collected during the cruise be interpreted, visualized, and communicated to the broad audiences? What new method of data and knowledge interpretation are proposed as part of the communications and outreach program? What opportunities will be offered for the engagement of citizen scientists? How interactive is the proposed outreach plan?</p>
<p>Overall recommendation for SOI approval</p>

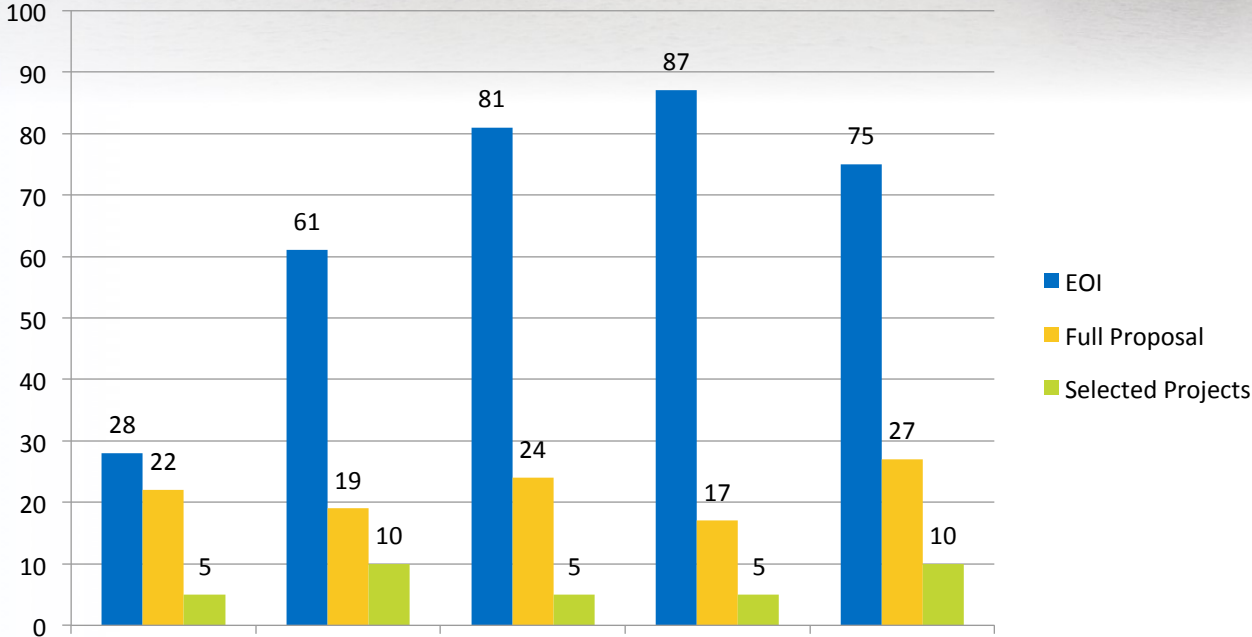
Panel Scoring Table



Overall Recommendation for SOI Approval (Ranked and Sorted by Panel Grade)																	
P.I.	Poor	Fair	Good	Very Good	Excellent	Panel	Norm	Mail-In	Norm.	Avg	Project	Multi	Total	ROV	ROV	Region	Mob Port
	0.5	1.5	2.5	3.5	4.5	Grade	Avg	Grade	Rank	Days	Leg	Days	Days	Days	Total		
Proposal 1				1	5	4.33	0.94	4.3	10.971	28		28	19	19	Hydrate Ridge	Astoria or Newport	
Proposal 2				2	4	4.17	0.88	4.3	10.941	17		45	12	31	Barkley Canyon, Hydrate Ridge (North east Pacific)	Astoria or Newport	
Proposal 3				1	5	4.33	0.94	4.1	0.90.921	32		77	0	31	northeast of the Hawaiian Islands	Honolulu	
Proposal 4				1	5	4.33	0.94	4.1	0.90.921	6		83	1	32	Gulf of Nicoya, Costa Rica	Astoria or Newport or Costa Rica	
Proposal 5				3	3	4	0.82	4.3	10.912	14		91	9	40	Palos Verdes shelf	San Diego	
Proposal 6					6	4.5	1.00	3.9	0.8	0.9	21		112	20	60	Pescadero Basin, Alarcon Rise	San Diego
Proposal 7				2	4	4.17	0.88	4.1	0.90.891	23		135	0	60	Eastern Tropical North Pacific	San Diego	
Proposal 8				2	4	4.17	0.88	4.1	0.90.891	21		156	0	60	'Au'au channel, along the coasts of west Maui, east Lanai, and south Moloka'i	Honolulu	
Proposal 9				3	3	4	0.82	4.1	0.90.862	30		186	10	70	Subtropical Gyre of the North Pacific. Halfway between Hawaii and Baja	Honolulu	
Proposal 10				4	2	3.83	0.77	3.9	0.80.782	40x		226	15	85	Subarctic North Pacific	Astoria or Victoria or Seattle	
Proposal 11				5	1	3.67	0.71	3.8	0.750.728	21		207	0	70	Ensenada Front and also on the San Juan Seamount off the coast of California	San Diego	
Proposal 12			1	5		3.33	0.59	3.9	0.80.694	66x		273	14	84	Mid-Pacific Mountains	Honolulu	
Proposal 13			1	4	1	3.5	0.65	3.7	0.70.674	34		307	4	88	Columbia Glacier, Alaska	Anchorage or Seward or Homer	
Proposal 14				5	1	3.67	0.71	3.5	0.60.653	14		321	5	93	Pacific shelf break of Costa Rica	Punta Arenas	
Proposal 15			1	5		3.33	0.59	3.7	0.70.644	25		346	18	111	Southern Mariana region	Guam	
Proposal 16				2	4	4.17	0.88	3.1	0.40.641	15		361	8	119	Northeast Pacific Ocean on the eastern flank of the Juan de Fuca Ridge	Astoria or Newport	
Proposal 17			4	2		2.83	0.41	3.7	0.70.556	14		375	8	127	Monterey Bay	Long Beach	
Proposal 18			5	1		2.67	0.35	3.7	0.70.526	28		403	0	127	East Pacific Rise, No EEZs or territorial waters	Manzanillo	
Proposal 19			4	1	1	3	0.47	3.3	0.50.485	21		424	10	137	offshore of Haida Gwaii	Seattle or Bellingham or Victoria	
Proposal 20			3	2		2.9	0.44	3.3	0.5170.476	20		444	0	137	North Pacific Ocean, north of approximately 50 N (Gulf of Alaska)	Anchorage	
Proposal 21		1	4	1		2.5	0.29	3.5	0.60.447	53x		497	16	153	Havre Trough north of New Zealand	Auckland	
Proposal 22			6			2.5	0.29	3.5	0.60.447	20		517	4	157	continental shelf and slope located offshore Central California	Long Beach	
Proposal 23		1	5			2.33	0.24	3.5	0.60.418	24		541	7	164	Vicinity northwest of San Miguel Island and the surrounding Channel Islands, and in Monterey Bay	Long Beach	
Proposal 24			6			2.5	0.29	3.3	0.50.397	9		550	2	166	Northeast Subarctic Pacific Ocean	Sydney BC	
Proposal 25		2	2			2	0.12	3.5	0.60.359	14		564	5	171	Multiple sites along the California coast from Catalina Island to Monterey Bay	Long Beach	
Proposal 26		3	3			2	0.12	2.7	0.20.159	30		594	0	171	Off the coast of southern California	San Diego	
Proposal 27		5	1			1.67	0.00	2.3	0	0	25	619	15	186	Axial Seamount	Astoria or Newport	

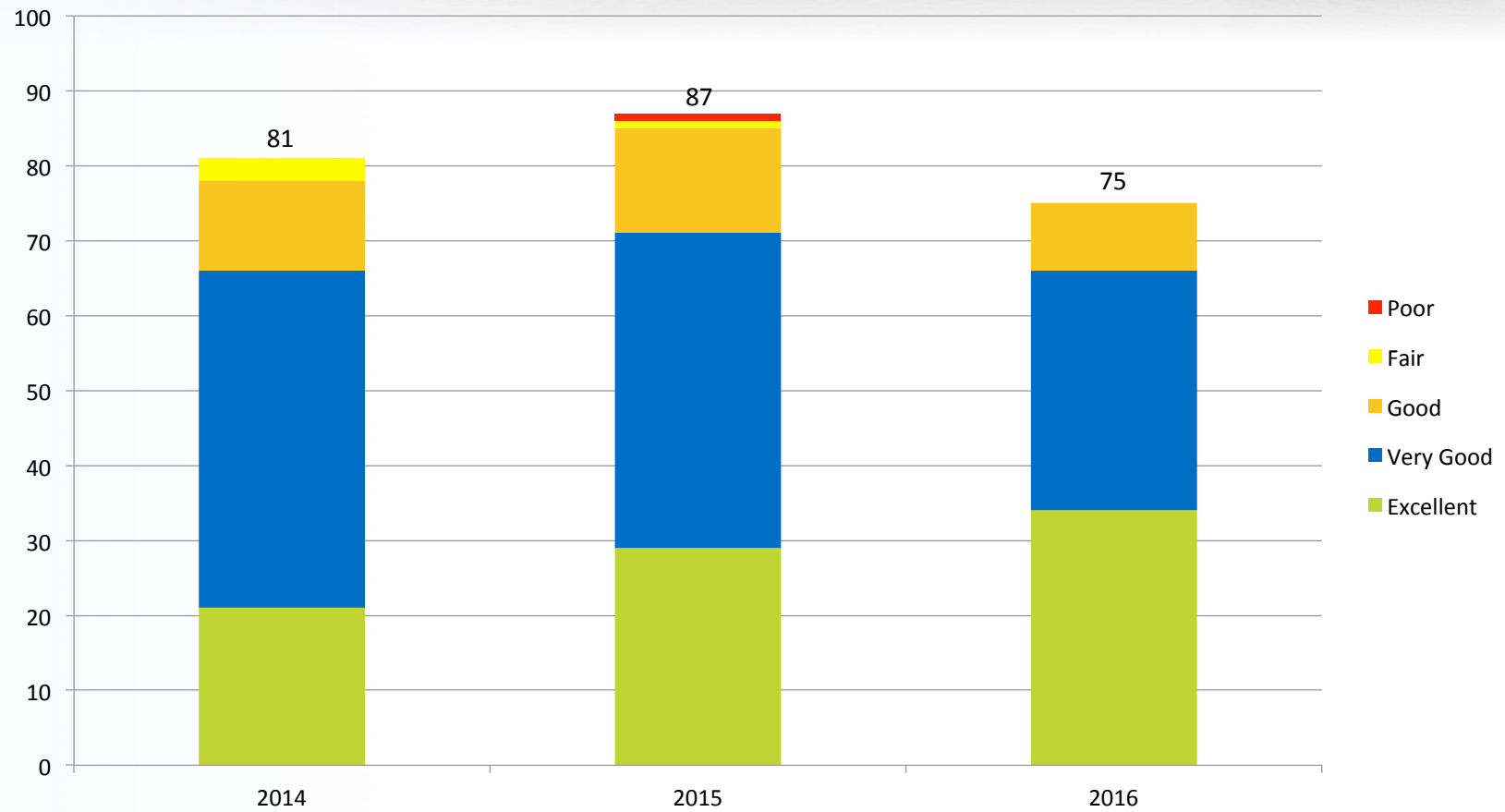


Proposal Counts & Success Rates



	2012	2013	2014	2015	2016
Success Rate: EOI - Full Proposal	78.6%	31.1%	29.6%	19.5%	36.0%
Success Rate: Full Proposal - Selected Project	22.7%	52.6%	20.8%	29.4%	37.0%

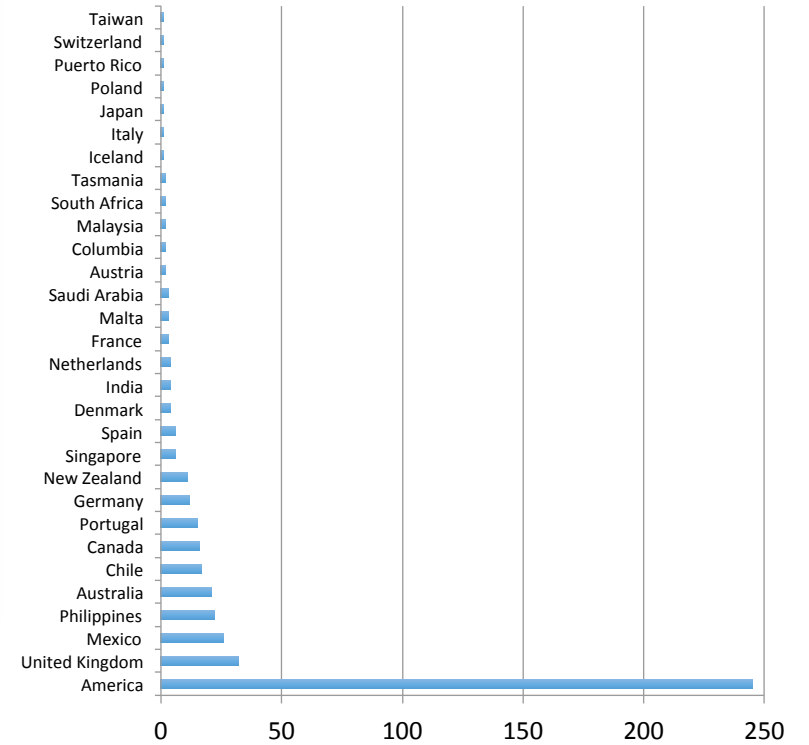
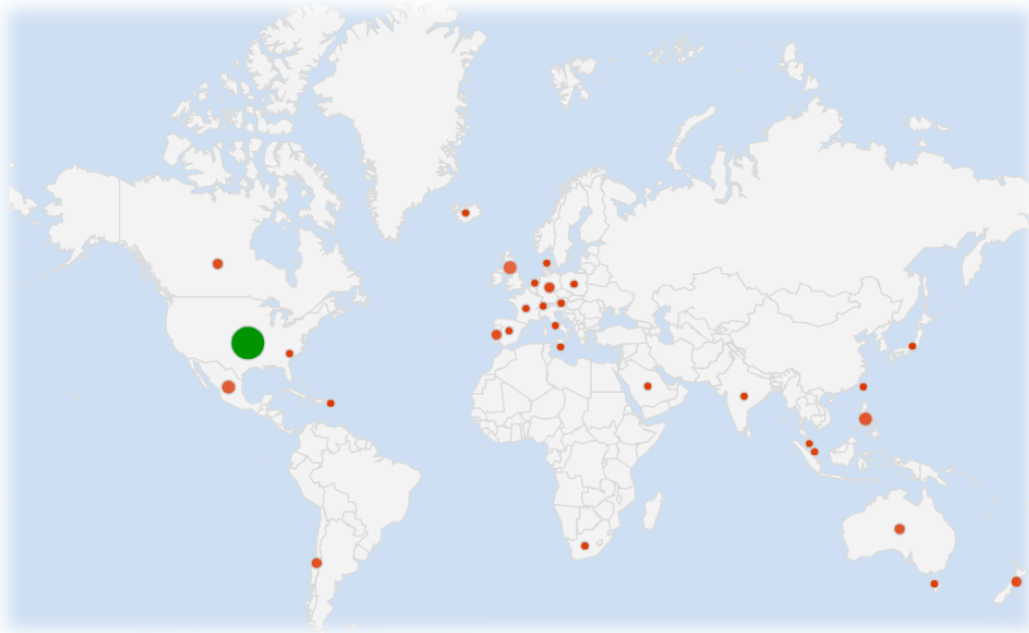
EOI Ranking Across Years



2015 EOI Investigator Demographics



Number of Investigators
(n = 397)

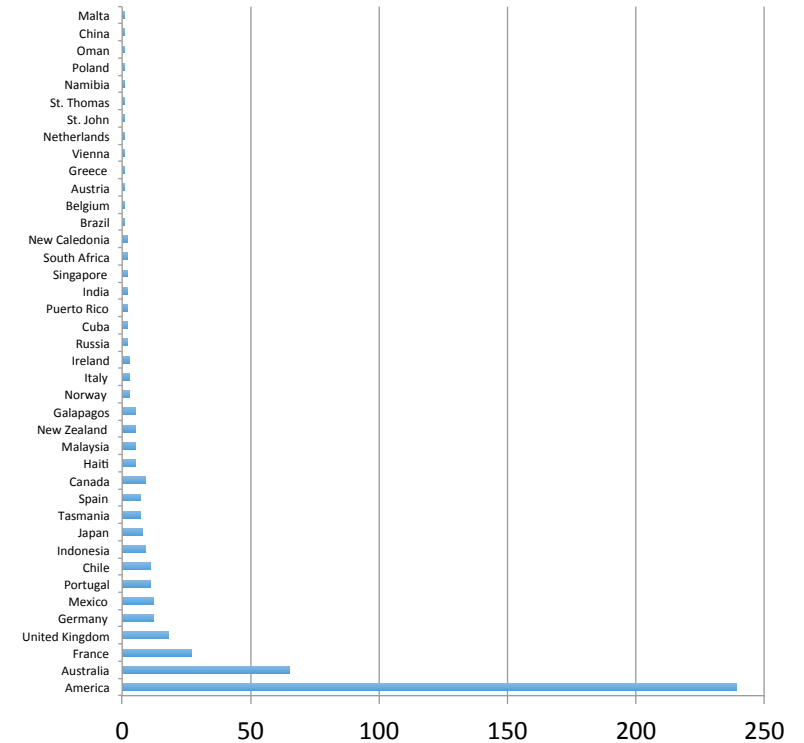


2016 EOI Investigator Demographics



Number of Investigators

(n = 491)



Links to Supporting Material



- [EOI Call for Proposals](#)
- [EOI Management Table](#)
- [EOI Mail Review Form](#)
- [EOI Review Summary](#)
- [EOI Map](#)
- [EOI Board Report Table](#)
- [EOI Demographics](#)
- [Guideline for Full Proposals](#)
- [Identification and Overview Form](#)
- [Dataset Description Form](#)
- [Proposal Logistics Form](#)
- [Review Process Summary](#)
- [COI Tables](#)
- [Proposal Review Form](#)
- [Mail Reviewer Responses](#)
- [Panelist Id Table](#)
- [SOI Background Handout](#)
- [Panel Agenda](#)
- [Panel Review Scoresheet](#)
- [Review Tables](#)
- [Map of Requested Cruise Tracks](#)
- [Panel Summaries](#)