

Federal Funding Opportunity Overview: Process and Summary Information from 2014-2020

Frank Cantelas, Science and Technology Division Chief
Ocean Exploration Advisory Board Sixteenth Meeting
April 27-28, 2020
Virtual

Outline

- Overview of OER federal funding opportunity (FFO) process
- FFO topics
- Funding requested for proposals and awards
- Leverage
- PI affiliations
- Themes/geographic focus
- Personnel support
- What's next for the FFO

OER FFO Process

Phase I

Phase II

Phase III

Phase IV

Phase V

FFO Created
and
Published

Pre-proposals
Submission and
Internal
Assessment

Full Proposals
Submission and
Administrative
Assessment

Full
Proposals
External
Review

Management
and Business
Review,
Selection,
Award, and
Follow-up

FFO Created and Published



1. OER selects regions and/or topics for next fiscal year funding announcement based on identified mission needs and priorities
 - **NEW: OER requires applicants to include diversity and inclusion statements**
2. OER publishes FFO on Grants.gov
3. OER distributes announcement through relevant email lists, OER website, social media, *Okeanos Explorer* participants, etc.)
 - **NEW: After publishing FFO, OER hosted an informational webinar attended by >50 people**

Pre-proposal Submission and Internal Assessment



1. Applicants submit pre-proposals to OER via email
2. OER team assesses pre-proposals using 5 criteria:
 - Relevance to NOAA and OER missions and goals
 - Scientific and technical merit
 - Applicant qualifications and competence (including past performance on OER awards)
 - Costs for specific items and overall project cost (including value of cost-sharing and/or in-kind contributions)
 - Outreach and education
3. OER responds to applicants encouraging or discouraging full proposal submission

Full Proposal Submission and Administrative Assessment



1. Applicants submit full proposals (only if they submitted a pre-proposal) by deadline—no exceptions
 - Nonfederal applicants submit proposals through Grants.gov
 - Federal applicants email proposals to OER
2. OER reviews each proposal for completeness before further review

Full Proposal Two Step Review



1. Mail Review

- OER sends each proposal to at least three mail reviewers (experts in their field and of the project topic)
- Reviewers review proposals using FFO evaluation criteria and return by date established by OER

2. Panel Review

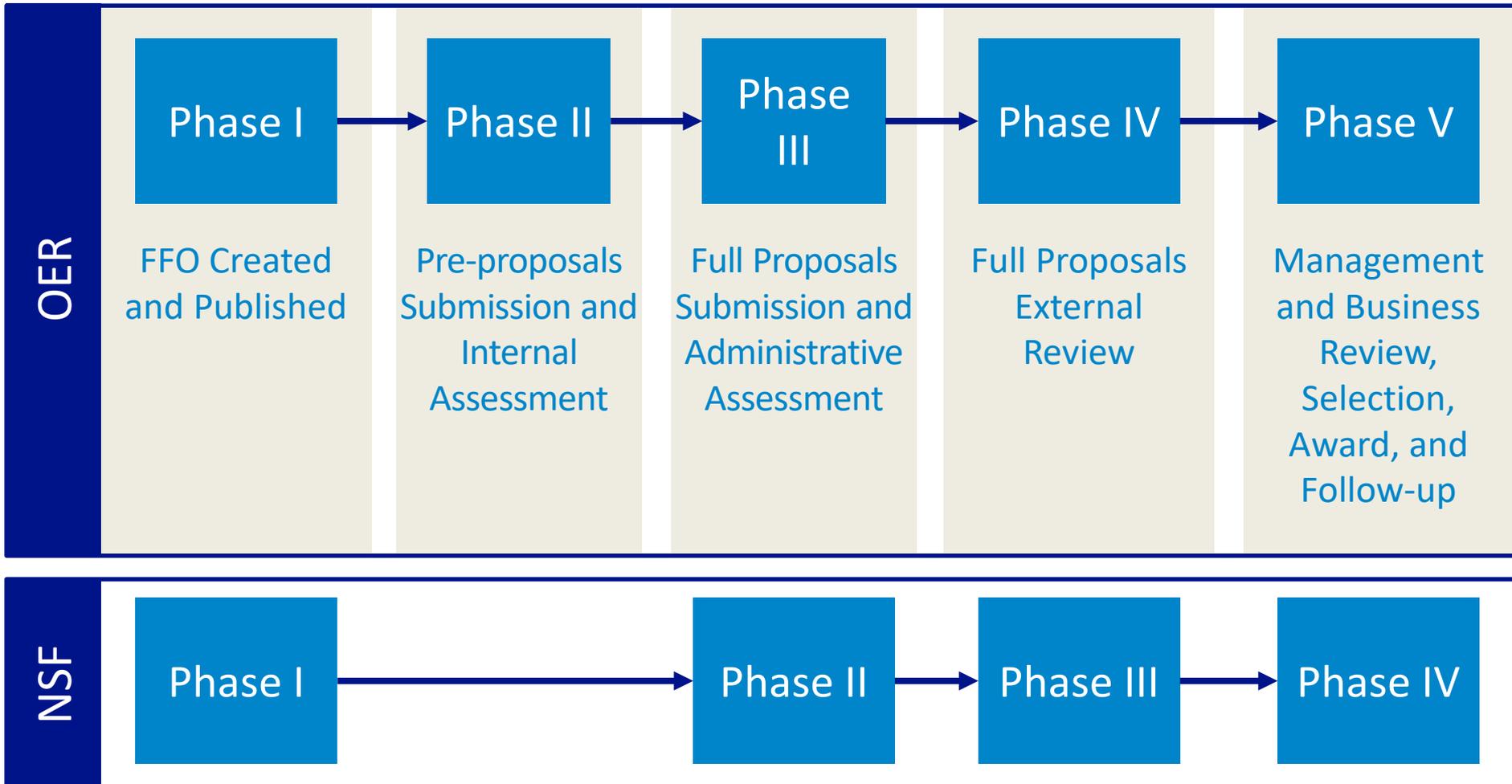
- OER selects panelists who are experts in their field and also have a broad knowledge of the FFO topics
- Panelists review and score each proposal using FFO evaluation criteria, mail reviews, and their expertise and knowledge
 - Panelists do not rank proposals and are not asked to reach a consensus

Management and Business Review, Selection, Award, and Follow-up

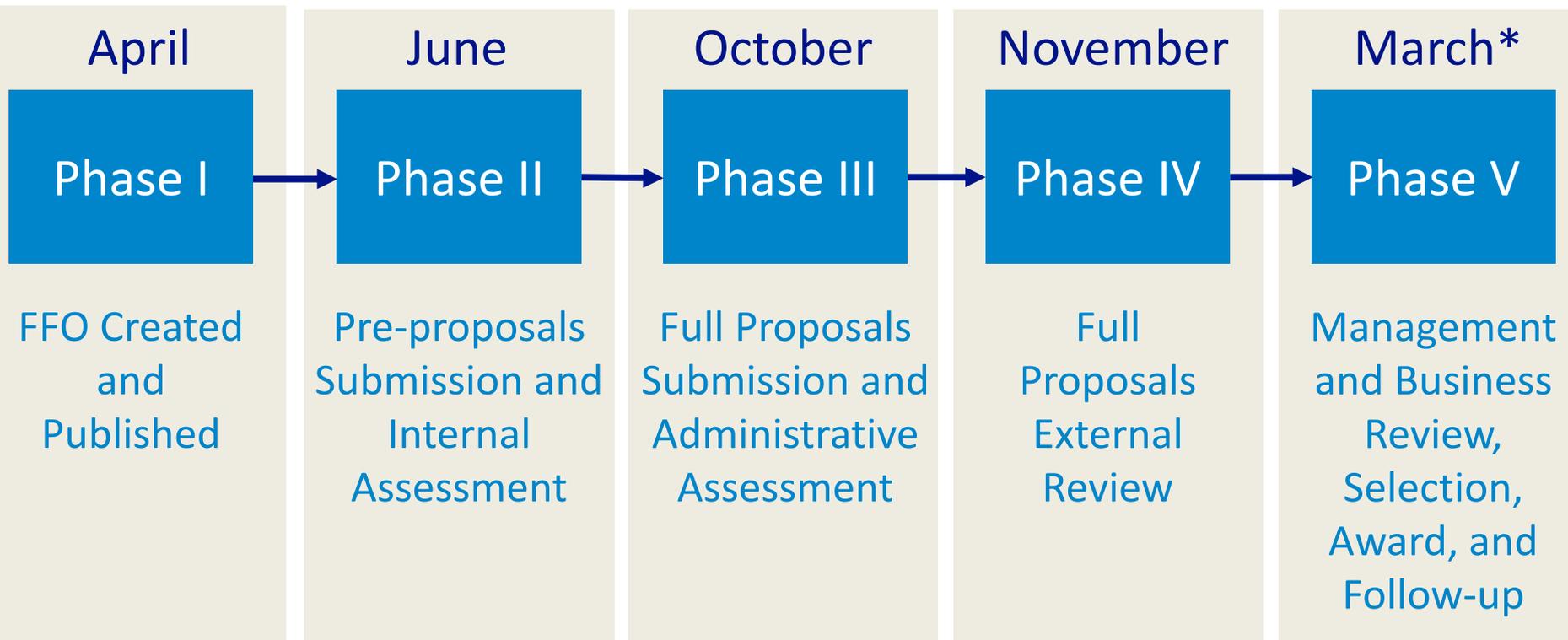


1. OER ranks proposals using mail reviews and panel scores
2. OER recommends proposals for funding based on final ranking, office priorities/budget constraints
3. OER negotiates budget with applicants, if necessary
4. Applicants revise proposals, if necessary
5. NOAA Grants Management Division reviews final proposal packages and makes grant awards

OER FFO Process: NSF Comparison



OER FFO Process: FY 21 Timeline

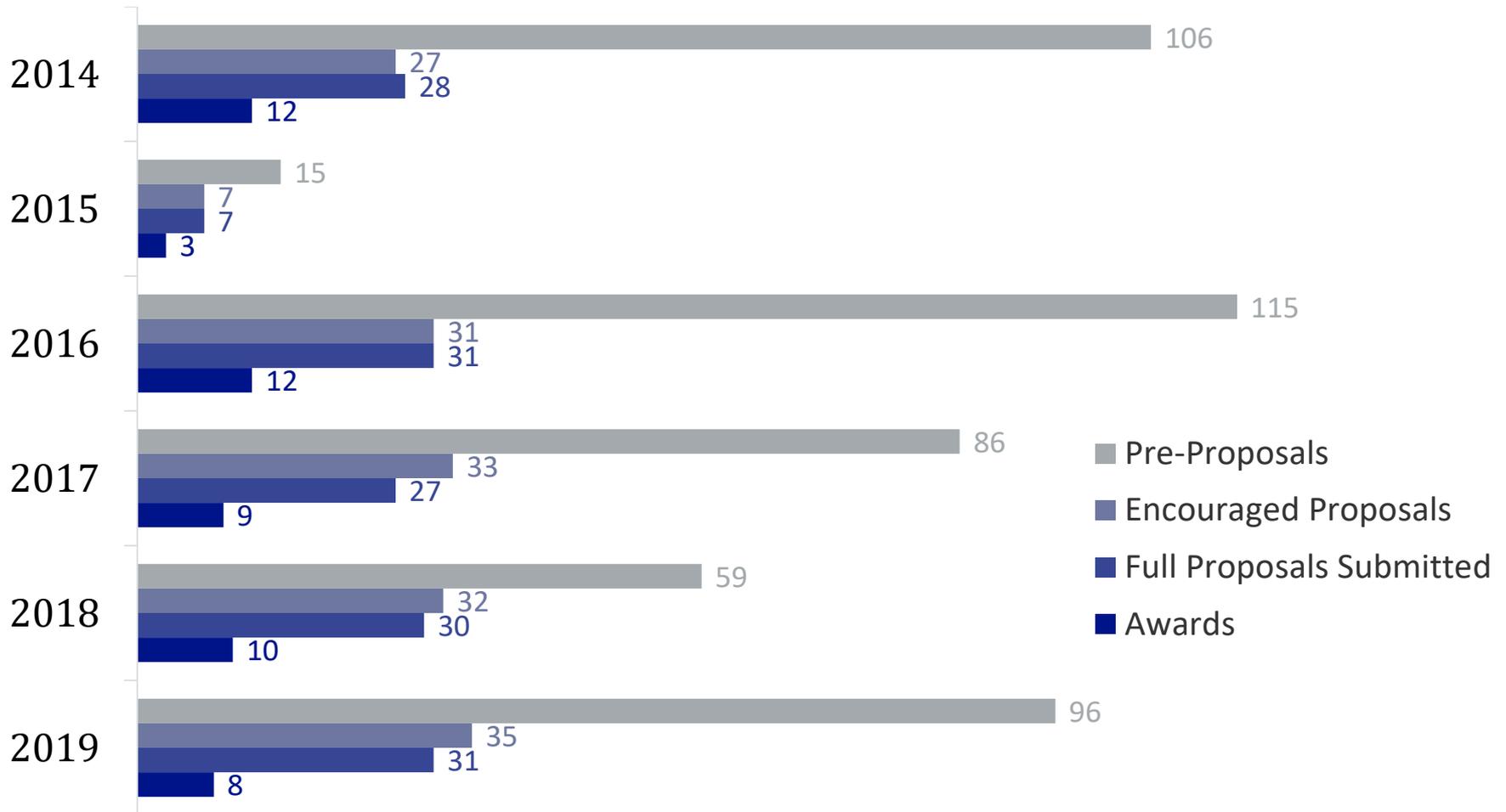


* This depends on FY21 budget allocations

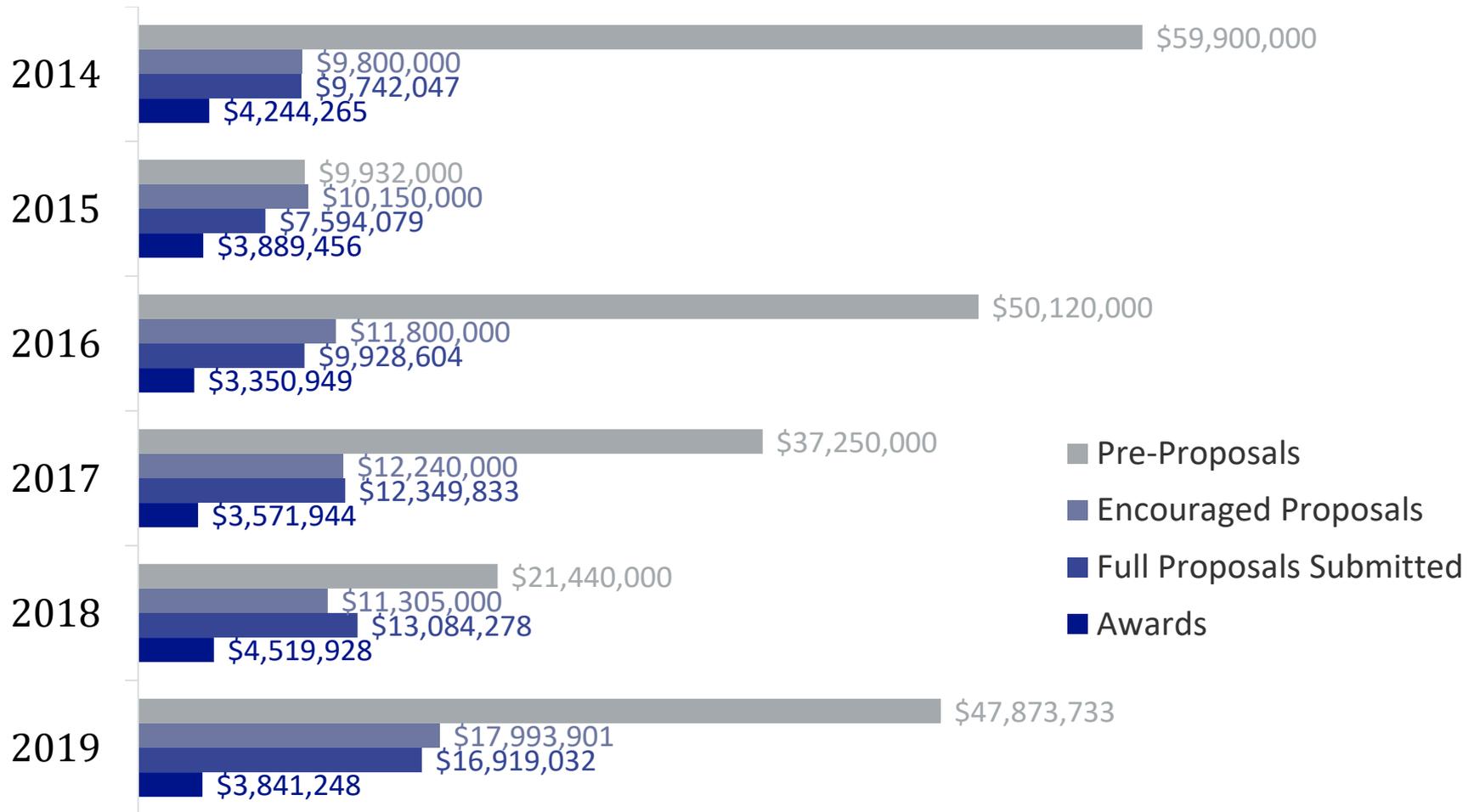
FFO Request for Proposal Topics

	2014	2015	2016	2017	2018	2019	2020/2021
Geographic Area	Gulf of Mexico Caribbean Arctic	Arctic ECS			Gulf of Mexico	Waters under US jurisdiction (inc. US EEZ & ECS)	Waters under US jurisdiction (inc. US EEZ)
Themes	Seafloor Mapping Habitat Characterization Oceanographic Processes Innovative Technology Applications Marine Archaeology	General Ocean Exploration	General Ocean Exploration Innovative Use of Exploration Technologies Marine Archaeology and Heritage	Water Column Exploration Seamounts WWII Marine Archaeology Advanced Technology	General Ocean Exploration Marine Archaeology Innovative Technology Applications	Biopharma or Biotechnical Potential General Ocean Exploration Marine Archaeology	General Ocean Exploration Marine Archaeology Technological Innovation

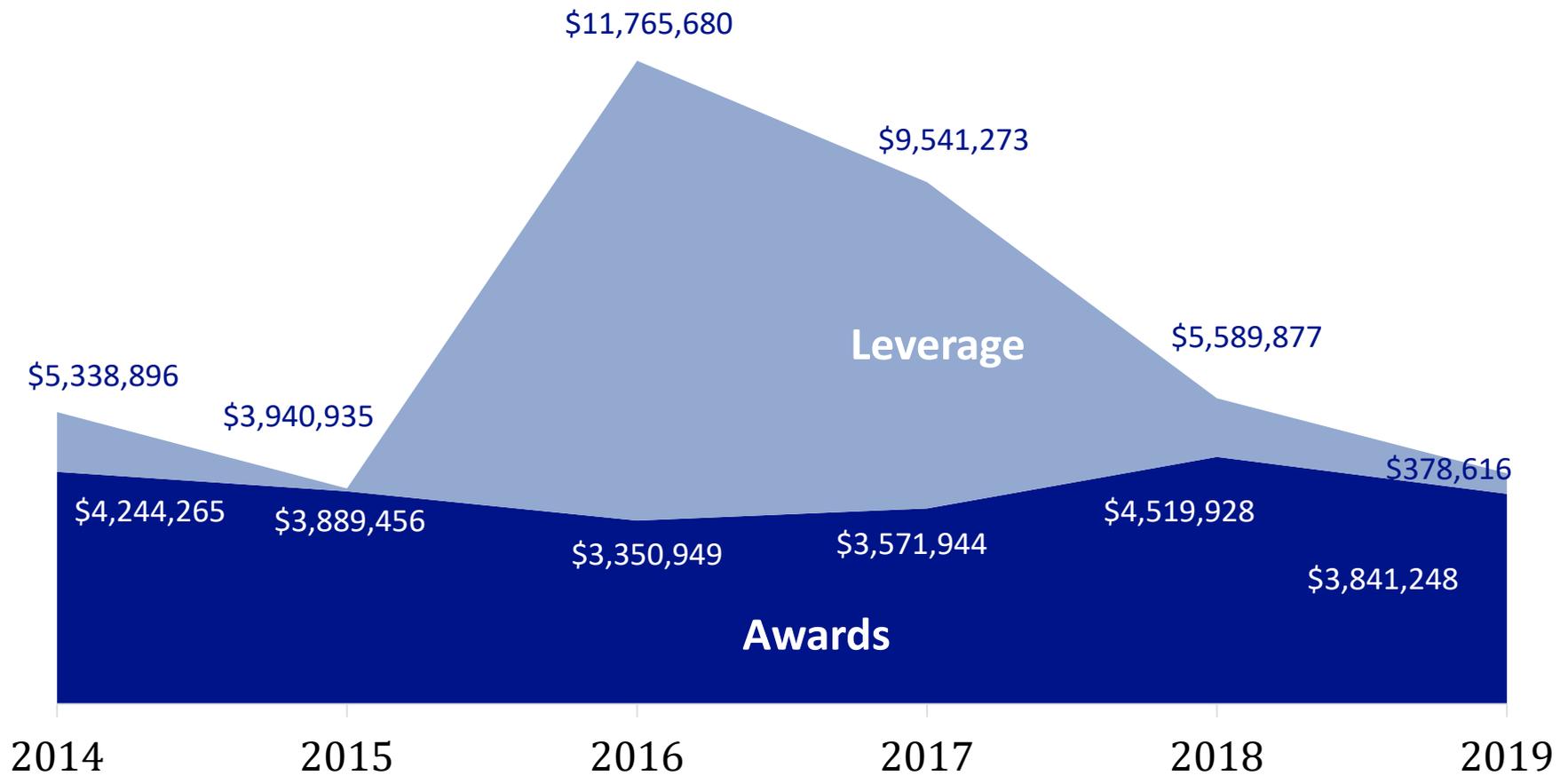
Numbers of Proposals and Awards



FFO Funding by Year

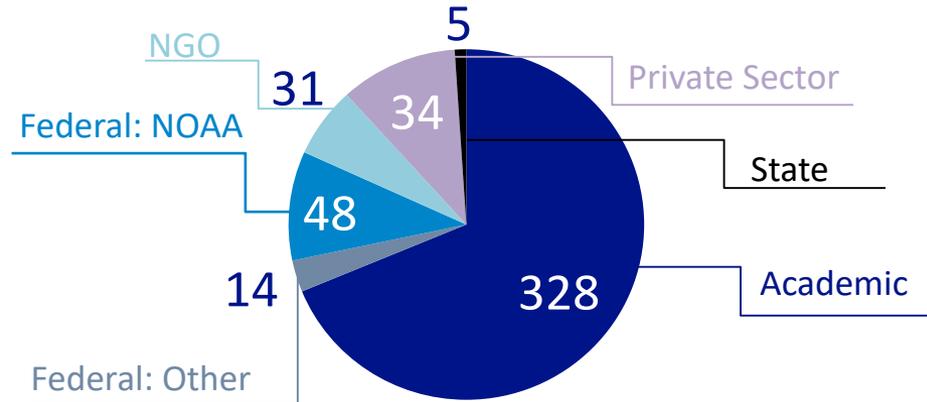


FFO Funding + Leverage By Year

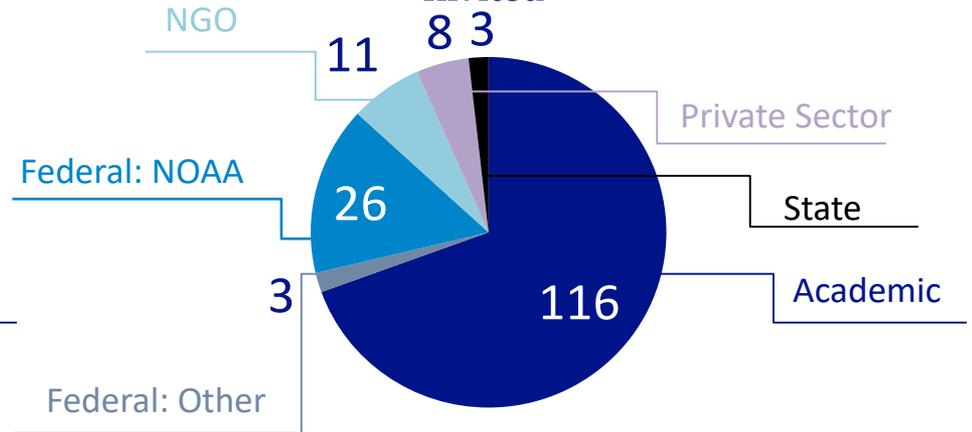


PI Affiliation 2014-2019

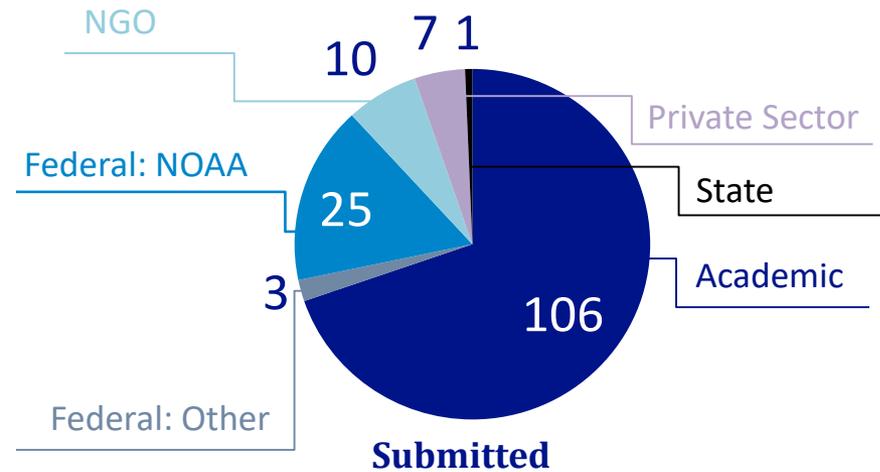
Pre-proposal



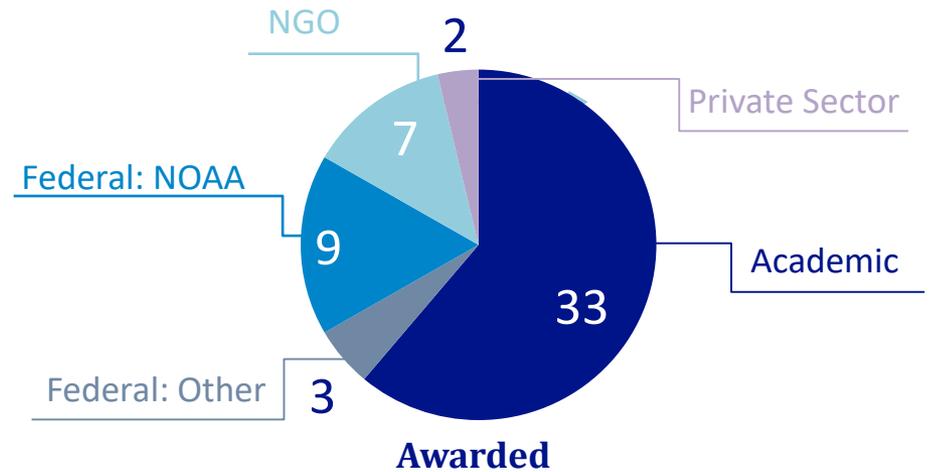
Invited



Submitted



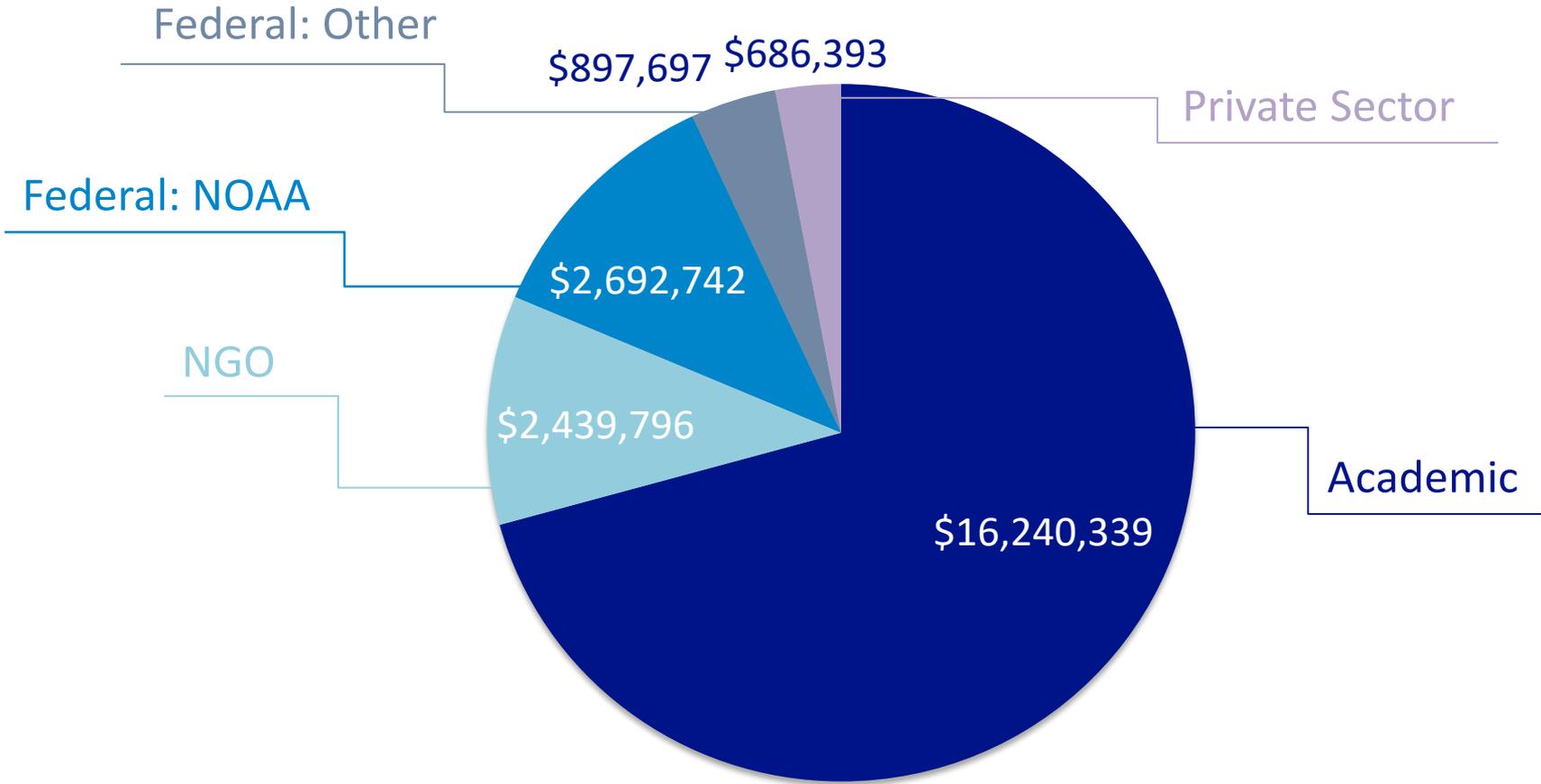
Awarded



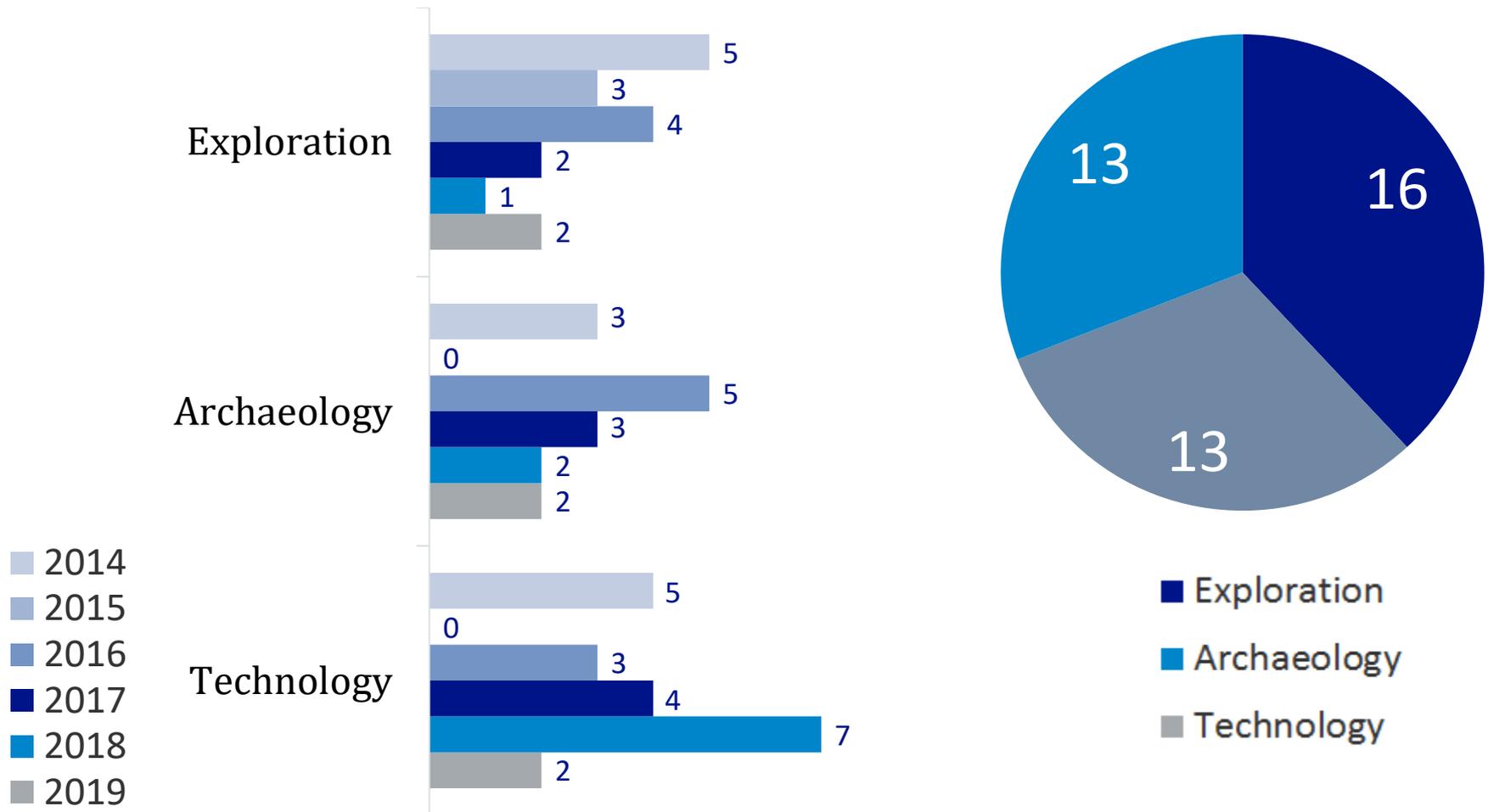
Distribution of Awards by Affiliation



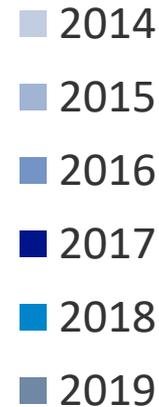
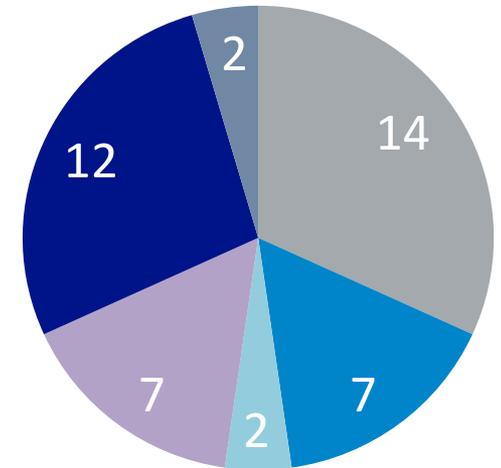
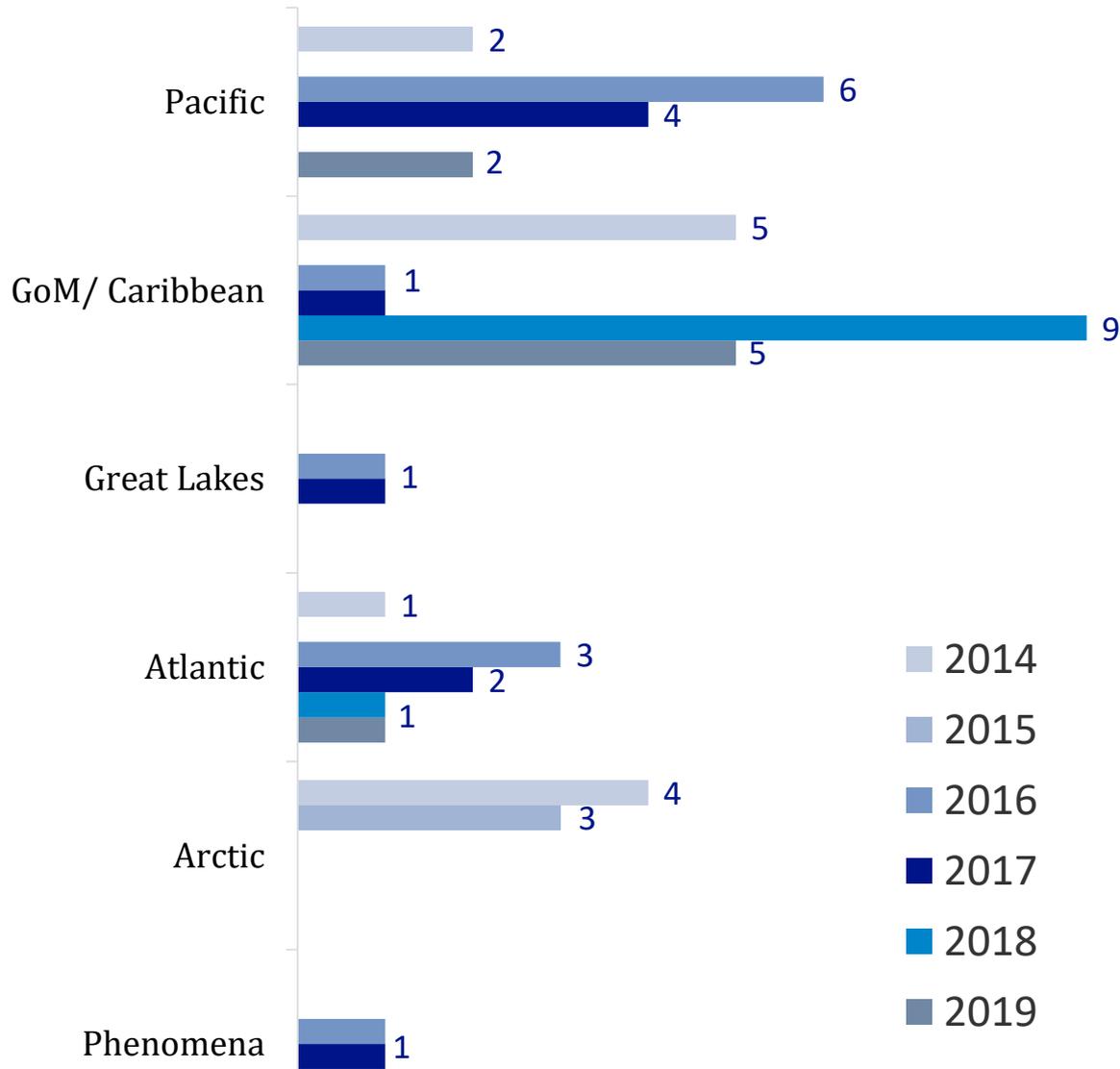
Awards by Affiliation 2014 - 2019



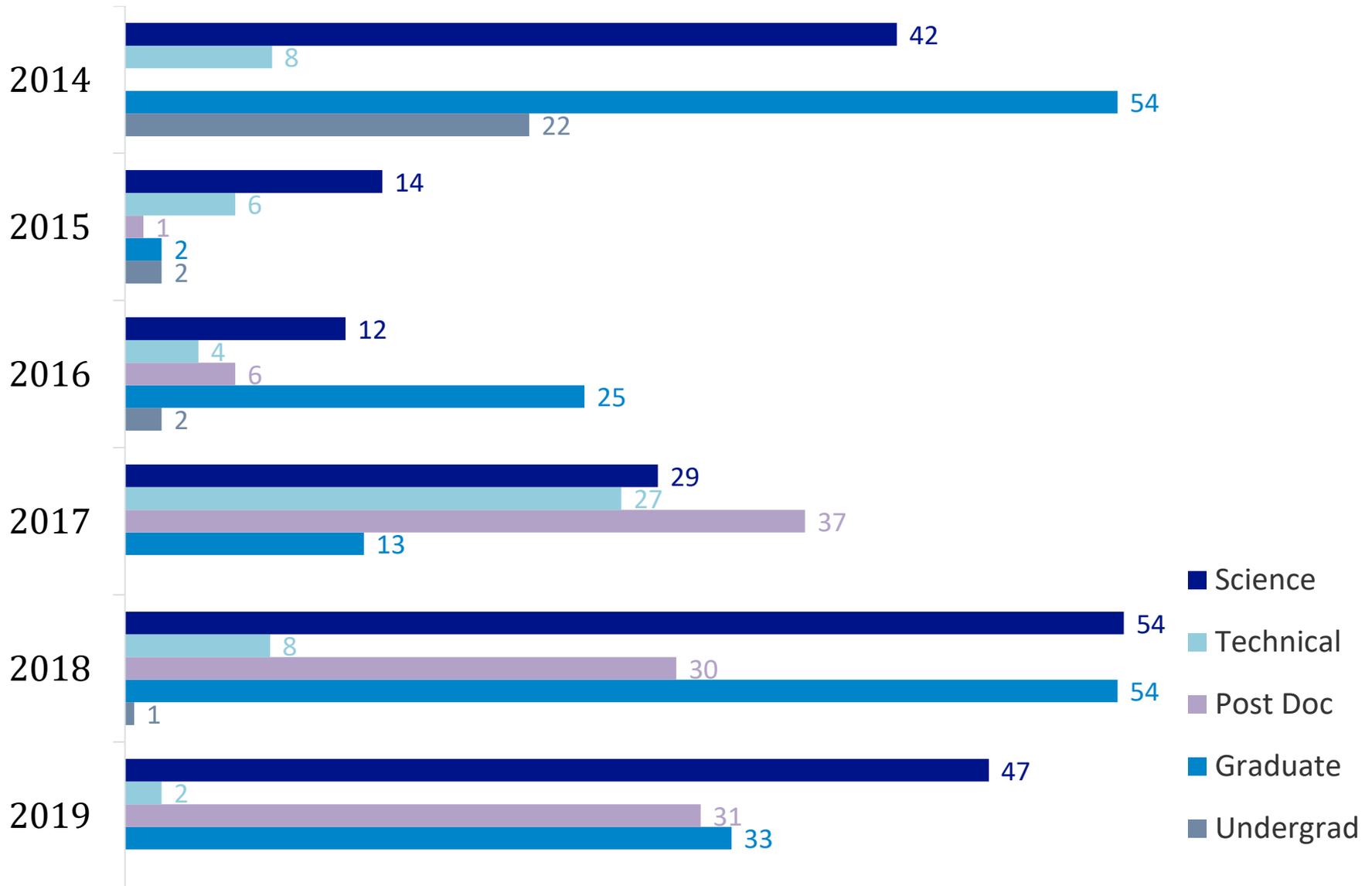
Award Themes: 2014-2019



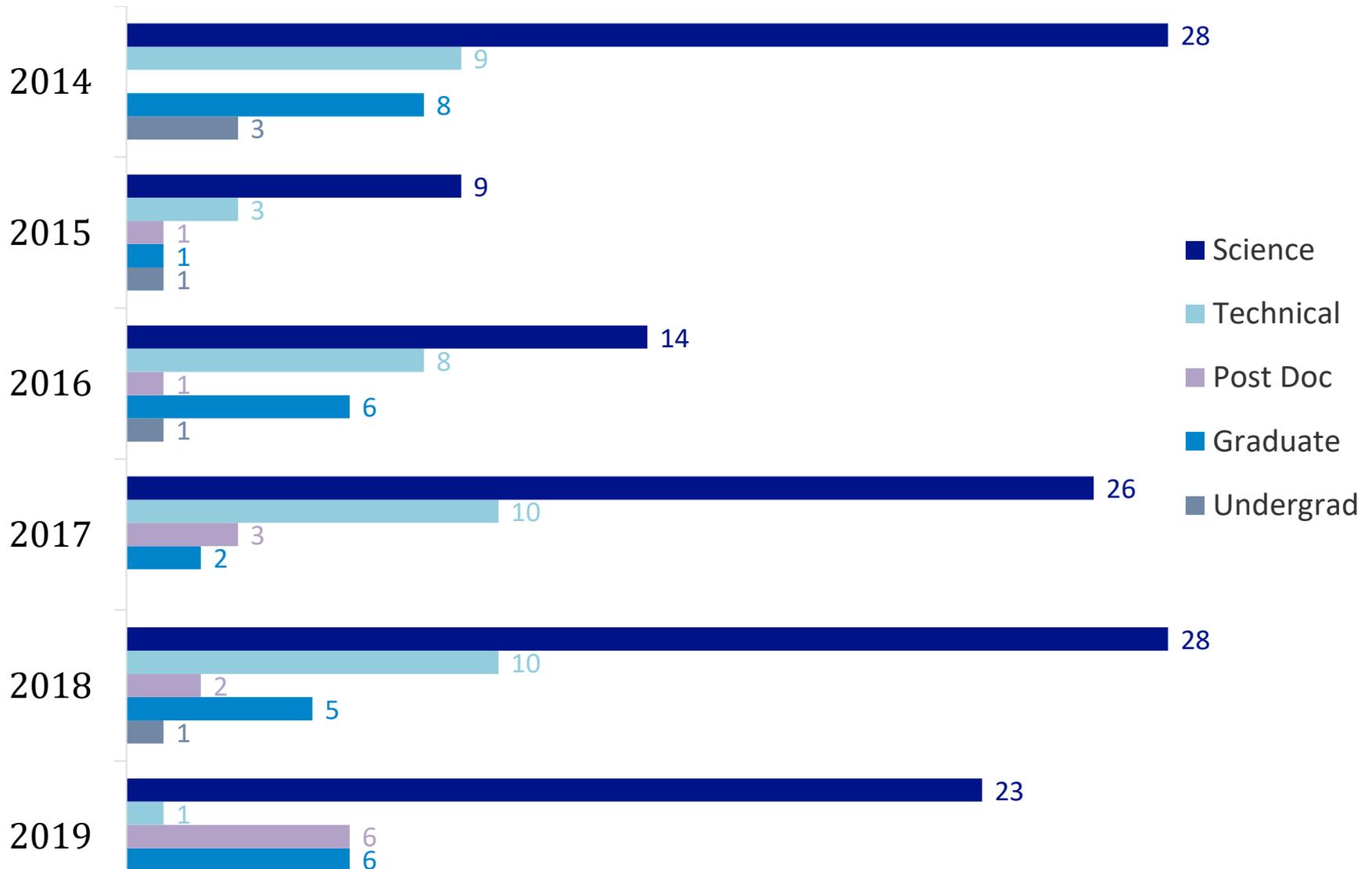
Geographic Focus by Year: 2014-2019



Review of Types of Personnel Awards Support (in months)



Review of Types of Personnel Awards Support (in numbers of people)



Summary Points

- Despite variation in FFO themes, number of applications, amounts requested, and funds dispersed have been relatively consistent over the past few years (with allowances for 2015, which had a constrained focus on the Arctic)
 - 2019 and 2020 FFOs included Blue Economy component
- Regular bibliographic citation analyses demonstrate program's impact and value
- Some 2019 projects impacted by pandemic

What's Next for the FFO Process

- Quantitative evaluation of grants outcomes, especially their relevance to, and impacts on, NOAA missions and objectives
- Considerations for future FFOs:
 - Complement National Ocean Mapping Exploration and Characterization strategy
 - Technology (e.g., develop new sensors and help build capacity reliance on seagoing assets other than ships)
 - Implement FFOs in partnership with other agencies and programs (e.g., NOPP)

frank.cantelas@noaa.gov

OceanExplorer.NOAA.gov



**Ocean Exploration
and Research**