

The National
Academies of

SCIENCES
ENGINEERING
MEDICINE

GULF RESEARCH PROGRAM



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REQUEST FOR APPLICATIONS

Safer Offshore Energy Systems Grants 4

Topic: Advancing Safety Culture in the Offshore Oil and Gas Industry

KEY DATES & INFORMATION

AWARD INFORMATION

Total Funding Available: \$10 million

Award Duration: Up to 36 months

LETTER OF INTENT (LOI)

(An LOI is required for this funding opportunity.)

December 19, 2018: Online LOI submission opens

February 13, 2019: LOI due by 5:00 pm Eastern Time

FULL PROPOSAL

(Only open to applicants who submitted a Letter of Intent)

February 14, 2019: Online full proposal submission opens

May 1, 2019: Full Proposal due by 5:00 pm Eastern Time

AWARD SELECTION AND NOTIFICATION

Fall 2019

Version 1.3—Issued on 03/04/2019

(Check if an updated version of this RFA has been issued at

nationalacademies.org/gulf/grants/soes-4

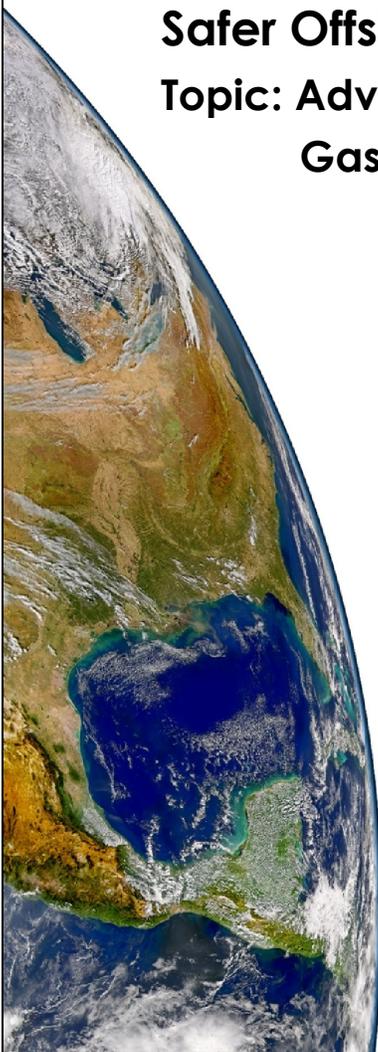


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GENERAL INFORMATION

About the Gulf Research Program

The Gulf Research Program is an independent, science-based program founded in 2013, as part of legal settlements with the companies involved in the 2010 *Deepwater Horizon* disaster. It seeks to enhance offshore energy system safety and protect human health and the environment by catalyzing advances in science, practice, and capacity to generate long-term benefits for the Gulf of Mexico region and the nation. The program is a division of the National Academies of Sciences, Engineering, and Medicine—a private, nonprofit organization with a 150-year history as an independent advisor to the Nation on issues of science, engineering, and medicine.

Contact Information

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Learn More

- About the Gulf Research Program: Visit nationalacademies.org/gulf/about
- About this Funding Opportunity: Submit questions about this opportunity to gulfgrants@nas.edu. All information contained in this document is also available online at nationalacademies.org/gulf/grants/soes-4.
- [Sign up for e-updates](#) to receive the most current information about activities and funding opportunities.

Online Application System: gulfresearchprogram.fluidreview.com

Important Version Information and Revision Notes

Version 1.3: Eligibility criteria amended.

Version 1.2: Description of funding priority “Human-Systems Integration” corrected within PDF version of RFA.

Version 1.1: Due date for full proposal submission extended to May 1, 2019.

AWARD INFORMATION

Award Duration:	Grants will be awarded to support projects up to 36 months in length.
Total Amount Available:	\$10 million
Estimated # of Awards:	To be determined. Projects of any size will be considered. Resources made available will depend on the quality of the proposals received and the budgets proposed by successful applicants. The GRP reserves the right to select for negotiation all, some, one, or none of the proposals received in response to this solicitation.
Award Notification:	Fall 2019

KEY DATES

Letter of Intent (LOI):	<i>A Letter of Intent is required for this funding opportunity.</i> December 19, 2018: Online LOI submission opens February 13, 2019, 5:00 pm ET: Deadline for submission of LOI
Full Proposal:	<i>ONLY open to applicants who submitted a Letter of Intent.</i> February 14, 2019: Online full proposal submission opens May 1, 2019, 5:00 pm ET: Deadline for submission of full proposal

PURPOSE

The Gulf Research Program seeks to support research that will advance understanding and facilitate improvement of safety culture in the offshore oil and gas industry.

CONTEXT

In 2018, the National Academies’ Gulf Research Program sponsored two workshops to identify specific and implementable research areas to improve process safety within the offshore oil and gas industry. “[The Human Factors of Process Safety and Worker Empowerment in the Offshore Oil Industry](#)” workshop was organized to examine a holistic approach to synthesizing scientific knowledge related to the role of the worker in the context of the environmental (organizational, social, and physical) structure of offshore oil operations. The workshop explored best practices and lessons learned from other high-risk, high-reliability industries for the benefit of enhancing safety in the offshore oil industry. “[SPE Summit: Safer Offshore Energy Systems](#)” was conceived to identify research gaps in offshore operations from exploration through production that, if filled, could result in safer offshore development. Proceedings of both workshops were used to identify and prioritize areas of research for the Safer Offshore Energy Systems Grants 4 competition.

FUNDING PRIORITIES

We seek proposals for research and/or design of pilot projects, intended for future implementation, to understand and improve offshore safety culture. In the case of pilot projects, the intent of this solicitation is to support the background work needed to develop and design a pilot program; future implementation would involve the use of funding other than that sought under this solicitation. The Gulf Research Program is specifically interested in the four areas below; however, our interest is not limited to these areas only and we also welcome proposals for other areas of research that could lead to improved understanding of safety culture within the context of offshore oil and gas operations.

- **Global Database of Incident and Safety Data:** Data that can be and are used to measure offshore safety are being collected worldwide by various entities (e.g., International Association of Drilling Contractors, Center for Offshore Safety, SafeOCS International Association of Oil & Gas Producers, SINTEF, Bureau of Safety and Environmental Enforcement, and many others). However, much of these data exist in isolation. To maximize the value that could be collectively derived from these various data, the Gulf Research Program seeks to increase understanding of how existing databases can be harmonized, how data can be shared, how data can be used in identifying indicators of a potential incident, and ultimately how data collection can be improved to enhance offshore safety and safety culture. Questions that might be considered include:
 - What data are available and where are they housed?
 - Where are gaps and redundancies in data?
 - What are definitional differences in variables collected and resulting interpretations?
 - What are lessons learned, advantages and disadvantages of approaches, and best practices pertaining to offshore safety data collection?

The desired output of this research is the design of a comprehensive pilot program supporting long-term curation of a global database of offshore oil and gas incident and safety data. A robust and inclusive safety database would supply fundamental information for the development of a long-term effort to increase safety culture in the oil and gas industry.

- **Near-Miss and Incident Reporting Systems:** It is understood that near-miss and incident reporting programs can either boost or impede safety and safety culture. Several high-risk industries have developed successful reporting programs that have resulted in significant improvement of those industries' safety record and, ultimately, a strengthening of the overall safety culture in those industries. The Gulf Research Program is interested in analysis of incident reporting practices from other high-risk industries (e.g., aviation, healthcare, mining) and the development of a pilot program to apply those practices to the offshore oil and gas industry. Questions that might be considered include:
 - How did incident reporting practices evolve over the years for a particular industry?
 - What were obstacles in developing, implementing, and maintaining a program and how were they overcome?
 - How was an incident reporting program implemented, how has the program evolved, and what issues still need to be addressed?
 - What aspects of this program could be adapted to the oil and gas industry?

The intent is to learn from changes in the safety culture of high-risk industries over time and understand how lessons or attributes of successful incident reporting programs can be applied to the offshore oil and gas industry. An anticipated output of this activity is an implementation plan for a near-miss and incident reporting system designed for the offshore oil and gas industry.

- **Measurement of Safety Culture:** Over the past decade, there has been a focus on defining and improving safety culture in the offshore oil and gas environment by industry, the Bureau of Safety and Environmental Enforcement, and organizations representing various sectors of the oil and gas industry. As efforts have been made to improve safety culture, many questions have arisen:
 - How does an organization know if it has the right safety culture?
 - How does an organization know if its efforts to improve the safety culture are working?
 - What efforts to improve safety culture have been most and least effective?
 - What works and does not work for empowering the workforce to promote a safety culture?
 - How does an organization know if its workforce is empowered or engaged to make safe decisions?
 - How can safety performance be assessed to understand factors that influence, promote, or impede safety culture?

The Gulf Research Program seeks research projects that answer these questions and explore ways to obtain quantifiable measurement of safety culture achievement on a given offshore installation or in a set of company installations and how that measurement might vary across companies of different scale, complexity, and focus. We seek to understand how to measure and understand the impact (positive, neutral or negative) of changes implemented to improve safety culture.

- **Human-Systems Integration:** As a system becomes more complex, it is essential that system design accounts for both human strengths and human limitations. It is also imperative that humans involved with the system consider information from various human and nonhuman sources (a variety of individuals, teams, and machines) when making critical decisions and that this information be considered in light of safety culture factors such as organizational hierarchy, psychosocial stress, and trust in automation.

The Gulf Research Program seeks research projects to advance understanding of how decision-making processes evolve with increased automation in the offshore oil and gas industry. Specifically, how do decision-making processes change depending on the interactions involved that occur between humans only, between humans and machines, and between machines only, and how do these interactions influence system safety and safety culture in the offshore environment.

PROJECT GUIDELINES

To be considered responsive to this Request for Applications topic, proposals should involve the following:

- **Research for Advancing Understanding of Safety Culture:** Research should advance understanding of an aspect or attribute of safety culture. Information obtained from this research should accomplish one or more of the following within the context of the offshore oil and gas industry:
 - Serve as a foundation for future funding and implementation of a pilot program to understand or promote safety culture.
 - Transfer safety culture best practices from high-risk industries.
 - Increase awareness and understanding of the factors contributing to a strong or a weak safety culture.
 - Provide tools for measurement of safety culture.
- **Understanding the Offshore Oil and Gas Operational Environment:** The project team should demonstrate a clear understanding of the operational landscape unique to offshore oil and gas operations. This may require researchers to acquire access to offshore facilities or to include or work closely with advisors or team members from the oil and gas industry, such as offshore development owners, contractors, operators, trainers, and/or regulatory agencies.

- **Applicable Information Toward Safer Offshore Oil and Gas Operations:** Successful proposals should explain how the proposed research project is directly applicable to understanding and/or improving safety culture in the offshore oil and gas operational environment.

ELIGIBILITY

These terms mean the following when referenced:

- **Applicant:** The organization under which an application is being submitted (i.e., applying organization).
- **Project director:** The individual who will lead the proposed project. The project director is responsible for the direction and intellectual design of the project and has primary responsibility for project execution and the submission of all required reports to GRP. Project directors usually initiate applications that are officially submitted by their employing organizations (the applicant). When initiating an application, the project director is responsible for ensuring it meets all the requirements outlined by the Gulf Research Program as well as any requirements set by their employing organization.
- **Key personnel:** Individuals who share in the responsibility of the direction or intellectual design of the proposed project and/or contribute to the execution of the proposed project in a substantive, measurable way.

The Gulf Research Program welcomes applications from all types of U.S. organizations, excluding federal agencies, on behalf of qualified individuals.

Applications must adhere to the following to be eligible:

- U.S. organizations (excluding federal agencies) that have a valid federal tax ID number are eligible to apply.
- This funding opportunity is for new, distinct activities only. Applications for activities that are already underway using other funds or that are seeking supplementary funds to continue an existing activity are not eligible. Proposed activities that are part of a broader, existing effort or “project” may be eligible if the application clearly demonstrates that the funding request is for new, distinct activities that would not otherwise occur.
- Activities currently under consideration for funding from other sources are not eligible. The status of “currently under consideration for funding from other sources” is intended to mean that full or final application materials have been submitted to another entity to request funding. Submission of a letter of intent or pre-proposal to another funding source does not constitute an activity being “currently under consideration for funding from other sources” if that submission is a step that precedes submission of full or final application materials in an application process.
- Activities that clearly lie under the direct responsibility of industry or regulatory agencies are not eligible.
- U.S. organizations may partner with international organizations; a U.S. organization must be the applicant, but applicants may include key personnel from and subawards to non-U.S. organizations. Please note that legal restrictions may prohibit transactions, including subawards, between U.S. entities and entities within certain foreign countries.
- U.S. federal agencies are not eligible to receive Gulf Research Program funding as applicants or subawardees, although their employees may be collaborators. Any proposed collaboration with employees of a U.S. federal agency should not involve any transfer of Gulf Research Program funding to the agency and must be in compliance with all applicable federal statutes and regulations.

Individuals named as project director or key personnel in an application must adhere to the following:

- An individual may be proposed as project director in only one application. If an individual is proposed as project director in any application, that individual may also be proposed as key personnel in up to two additional applications.
- An individual not proposed as a project director in any application may be named as key personnel in up to three applications.

- It is the responsibility of each individual being named as project director or key personnel in any application to ensure that they are not named in more than three total applications.

APPLICATION SUBMISSION AND REVIEW

Applications for this funding opportunity have two stages with different required components: 1) a letter of intent and 2) a full proposal. Project directors are advised to review the application preparation and submission instructions carefully and submit any questions to gulfgrants@nas.edu well in advance of the submission deadlines. Although the Gulf Research Program strives to respond to applicants' questions within two business days, the response time depends on the volume of questions received and the complexity of the question asked. The Gulf Research Program does not guarantee that applicants' questions will be answered before submission deadlines. Applicants are advised to submit LOIs and full proposals well in advance of the submission deadlines as a precaution against unanticipated delays. Please plan ahead.

Please be advised that the Gulf Research Program expects applicants to have reviewed the Grant Agreement (see "Grant Terms and Conditions" on page 13) prior to submitting an application to ensure that the applicant is aware of the applicable terms under which the grant is offered. It is the policy of the National Academies of Sciences, Engineering, and Medicine to entertain potential modifications to the Grant Agreement only under the most exceptional circumstances. Rather, successful applicants are strongly encouraged to sign the Grant Agreement as presented.

LETTER OF INTENT

A letter of intent (LOI) is required for this funding opportunity and must be submitted via the [online application system](#). LOIs submitted by other means (including mail, fax, or e-mail) will not be considered. LOI application materials submitted in any language other than English will not be considered. The LOI is not binding and is used by program staff to gauge the size and range of the competition so that staff can better manage the selection of reviewers. In addition, the information contained in a LOI is used to help avoid potential conflicts of interest in the review process. All complete LOIs will be reviewed internally by Gulf Research Program and other National Academies staff to evaluate overall clarity of the idea, relevance to the RFA, and relevance to the vision of the Gulf Research Program.

The LOI must include the following elements:

- Required [Eligibility Form](#)
- Required [Contact Information Form](#) that includes:
 - I. Required Information:
 1. Applicant
 2. Project director
 3. Authorized organizational representative (AOR)
 4. Grant administrator (if different from AOR)
 - II. Optional Information: Information provided in this section will not be used in or influence any portion of the application review process:
 6. Suggestions for reviewers: The suggestions may be considered for the peer review of full proposals, but the selection of reviewers is the responsibility of the Gulf Research Program.
 7. How did you hear about this funding opportunity?
 8. Demographic information

- Required [Letter of Intent Form](#) that includes information about the:
 - I. Project Personnel:
 1. Project director
 2. Key personnel
 3. Involvement of project director or key personnel in other applications
 - II. Project Details:
 4. Project title (up to 15 words)
 5. Project key words (up to 5 words)
 6. Overview of proposed project (up to 1,250 words)
 7. Research involving human subjects (if applicable)

No later than three weeks after the LOI submission deadline, the project director will be notified of the Gulf Research Program's decision to either encourage or discourage submission of a full proposal. The Gulf Research Program's decision is advisory only, which means that submitters of both favorably and unfavorably reviewed LOIs are eligible to submit full proposals. The intent of encourage/discourage decisions is to improve the overall quality of the full proposal and encourage re-thinking, particularly if a LOI is not responsive to the RFA topic.

FULL PROPOSAL

Full proposals must be submitted via the [online application system](#), and they cannot be submitted if the applicant did not submit an LOI. Proposals submitted by other means (including mail, fax, or e-mail) will not be considered. Full proposal application materials submitted in any language other than English will not be considered. The online form for submission of a full proposal will be available on September 20, 2018 to applicants who have submitted an LOI. Conformance of proposals to instructions provided is required and will be strictly enforced. The Gulf Research Program may reject, without review, proposals that are not consistent with the instructions.

The information provided in the LOI is non-binding. At the full proposal stage, you have the opportunity to change or update project information based on feedback received from the LOI review or changes in the project plan since the LOI was submitted. You may not change the applicant (i.e., applying organization).

The Full Proposal must include the following elements:

- Required [Full Proposal Form](#) that includes information about the:
 - I. Project Personnel:
 1. Project director
 2. Key personnel
 3. Involvement of project director or key personnel in other applications
 - II. Project Details:
 5. Project title (up to 15 words)
 6. Project key words (up to 5 words)
 7. Project summary (up to 300 words)
 8. Project description (up to 6,000 words)
 9. References cited
 10. Data management plan (up to 1,500 words) [Please see the GRP's [Data Management Policy](#)]

11. Facilities, equipment, and other resources (up to 500 words)

12. Research involving human subjects (if applicable)

III. Project Budget:

14. Total budget requested

15. Budget justification (up to 2,000 words). View a [sample budget justification](#).

16. Sub-award to FFRDC(s) or UARC(s) (if applicable)

• Attachments:

I. Required attachments:

1. [Budget Form](#): Complete this form to provide information on the proposed budget. Budget requests should be developed commensurate with the support needed to achieve the project goals. Please note that cost sharing is prohibited.
2. Resume(s): A resume is required for the project director and each individual identified as key personnel. Resumes are limited to two pages per person. See [additional resume specifications](#). Please combine all resumes into a single PDF document before uploading as an attachment. If a resume is longer than two pages, only the first two pages will be considered in peer review.
3. [Collaborators and Other Affiliations Form](#): The purpose of this form is to help us eliminate potential conflicts of interest during our reviewer recruitment. Complete this form to provide information on the following:
 - All persons (including their current organizational affiliations) who are currently or who have been collaborators (i.e. an individual with whom you work closely to co-design or conduct a project) or co-authors with the individual on a project, book, article, report, abstract, or paper during the 48 months preceding the submission of the application.
 - The individual's own graduate and postdoctoral advisor(s) and their current organizational affiliations.
 - All persons (including their current organizational affiliations) with whom the individual has had an association as a graduate or postdoctoral advisor.
4. [Current and Pending Support Form](#): Complete this form to provide information on the current and pending support of the project director and other key personnel, if applicable. The form calls for required information on current and pending support for ongoing projects and proposals. All current project support from whatever source (e.g., federal, state, local or foreign government agencies, public or private foundations, industrial or other commercial organizations) must be listed. The proposed project and all other projects or activities requiring a portion of time of the project personnel and other senior personnel must be included, even if they receive no salary support from the project(s). The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months per year to be devoted to the project, regardless of source of support.
5. [Timeline](#): A timeline is required that portrays key project activities or events – including tasks, milestones, outputs, or deliverables – using a Gantt chart. During the application review process, the timeline will be used by reviewers to assess project feasibility. Should a project be funded, the timeline should allow project directors to track their progress and help Gulf Research Program staff monitor whether a project is on schedule. Project activities or events in the timeline should serve as unambiguous indicators and measures of progress. Projects should have a sufficient number of key activities or events to ensure that a timeline is adequately portrayed and overall progress can be reasonably tracked over distinct time periods. Gantt charts should be uploaded as a PDF.

II. Optional attachments:

6. Equations, figures and tables: The textbox for the Project Description does not support equations, figures, or tables. Applicants may upload a single PDF document with 1) a one-page list of equations and 2) up to five graphical elements (e.g., figures and tables), each on one page, to support the project description. If the total number of pages of graphical elements in the PDF exceeds five, only the first five that appear in the document will be considered in peer review. In addition, only information that is directly relevant to the graphical elements (e.g., figure legends) will be considered in peer review.
7. Letters of support: Applicants may upload a PDF with letters of support from collaborators or organizations/individuals anticipated to inform or participate in the project in some substantial way. Each letter of support should be no longer than two pages; if an individual letter exceeds two pages, only the first two pages will be considered in peer review. Please combine all letters of support into a single PDF before uploading as an attachment.

Research Involving Human Subjects

All projects involving human subjects must be submitted to an institutional review board (IRB) for review and either receive IRB approval or be granted exemption from human subjects regulations before an award can be made. Proposers should file their proposal with their local IRB at the same time the proposal is submitted to the Gulf Research Program so that any approval procedure determined as necessary will not delay the award process. A proposal may be submitted to the Gulf Research Program prior to receiving IRB approval or being granted exemption; however, if the proposal is selected for funding, the award will be made conditional upon IRB granting approval or exemption from human subjects regulations within 60 days of the notice of conditional award. If a proposed project involving human subjects is granted exemption from human subjects regulations [see 45 CFR 46.101(b)], the applicant must provide documentation that an IRB (or the appropriate authority other than the project director or key personnel) has declared the project exempt from the human subjects regulations. Documentation should include the specific category justifying the exemption. Organizations without internal access to an IRB must seek approval or exemption from an independent review board or other appropriate authority.

FULL PROPOSAL PEER REVIEW PROCESS

All complete full proposals will be sent to external reviewers for panel review. The external review panel will evaluate the proposals based on the Full Proposal Merit Review Criteria, discuss the merit and all received comments for each proposal, and then rank the proposals. The Gulf Research Program will make reasonable efforts to develop a review panel in which external reviewers will not be affiliated with any institution that submitted proposals. Any external reviewer with any conflict(s) of interest will be recused from reviewing or participating in any discussion of any proposal(s) with which s/he has a conflict of interest. Program staff will examine the full proposals and prepare a grant-funding plan taking into consideration the review panel's ranking of the proposals, summaries from the panel discussion, and the program's funding availability, current portfolio, objectives, and goals. A subset of current and former Gulf Research Program Advisory Board members oversee the grant-funding plan and recommend a list of projects for funding. Current and former Advisory Board members are recused from individual proposals involving a conflict of interest, such as having an affiliation with an institution that submitted a proposal. The final decision for funding will be made by the Gulf Research Program of the National Academies of Sciences, Engineering, and Medicine.

All review processes will be governed by the Gulf Research Program's [Conflict of Interest and Confidentiality Policies](#).

Full Proposal Merit Review Criteria

Proposals will be evaluated on the basis of three broad review criteria. The bullets under each criterion are meant to guide proposers in writing their proposals and guide peer reviewers on what to consider when judging a proposal; the bullets are illustrative and not intended to be all encompassing. Reviewers may raise additional issues that are not covered by the bullets under each criterion.

Relevance (40%)

- Is the proposed project relevant to advancing understanding of an aspect or attribute of safety culture?
- In the context of offshore oil and gas operations, would the proposed project accomplish one or more of the following:
 - Serve as the foundation for future funding and implementation of a pilot program to understand or promote safety culture?
 - Transfer safety culture best practices from high-risk industries?
 - Increase awareness and understanding of the factors contributing to a strong or a weak safety culture?
 - Provide tools for measurement of safety culture?
- Will the proposed research project be directly applicable to understanding or improving safety culture in the offshore oil and gas operational environment?
- Is there a clearly identified end user for the outputs of the proposed research project?

Technical and Scientific Merit (40%)

- Is there evidence that the project team understands the operational landscape unique to offshore oil and gas operations and how the project would be applied to this environment?
- Is there evidence that the proposed project team understands the current state of knowledge of the issue(s) to be addressed?
- Is the strategy for the overall project and its implementation clear and feasible?
 - As necessary to the success of the project, is there evidence that the project team will have access to needed data, offshore facilities or personnel, and/or public or private sector resources?
- Is the budget commensurate with the proposed work?
- Does the proposal include a data management plan that is appropriate for the scope of work?

Project Personnel and Organizational Supports (20%)

- Relative to stage(s) of career(s), how well qualified are the project director and other project personnel, if applicable, to conduct the proposed activities?
- Are the disciplines and perspectives represented by the personnel and institutions appropriate for the scope of the project?
- Does the proposal demonstrate that the project personnel would have adequate resources (for example, institutional support, equipment, and/or other physical resources) to conduct the proposed project?

DATA MANAGEMENT POLICY

The Gulf Research Program's [Data Management Policy](#) applies to this RFA. To facilitate sharing of data and information products, all full proposals submitted to the Gulf Research Program must include a data management plan. Information products may include documents (i.e. reports, workshop summaries, etc.), multi-media curricula for education and training (i.e. video and/or online tutorials, manuals and handbooks, etc.), and other media and communication platforms. Even in the unlikely case in which no data or any other information products will be produced, a plan must be submitted that states "No data or information products are expected to be produced from

this project.” Please see the Gulf Research Program’s [Data Management Policy](#) and [Data Management web page](#) for information on what must be included in the data management plan submitted as part of this application.

MAKING THE AWARD

Selection Notice

When the evaluation of all proposals received is complete, the project director will be notified that (1) the proposal has been selected for funding pending contract negotiations, or (2) the proposal has not been selected. These official notifications will be sent via email to the project director identified on the application. If a proposal is selected for award, the Gulf Research Program reserves the right to request additional or clarifying information for any reason deemed necessary, including, but not limited to, indirect cost information or other budget information. Awardees are free to accept or reject the grant agreement as offered.

Award Notice

The Gulf Research Program transmits award notices to organizations via e-mail. The award is not finalized and the National Academies of Sciences, Engineering, and Medicine is not obligated to provide any funding until a signed copy of the award agreement has been received by the Academies.

Grant Periods

Upon receipt of the award notice, the awardee should note the effective date and the expiration date. Effective date is the date specified in the grant notice on or after which expenditures may be charged to the grant. Charging expenditures to the grant prior to the effective date is strictly prohibited. Expiration date is the date specified in the grant notice after which expenditures may not be charged against the grant except to satisfy obligations to pay allowable project costs committed on or before that date.

Once an award is made, the effective date cannot be changed. The expiration date may be changed as a result of approval of a request for a no-cost extension. If approved, the Gulf Research Program will issue an amendment to the grant.

If additional time beyond the performance period and the established expiration date is required to assure adequate completion of the original scope of work within the funds already made available, the awardee may apply for a one-time no-cost extension of up to six months. A formal request must be submitted to the Gulf Research Program at least 45 days prior to the expiration date of the grant. The request must explain the need for the extension and include an estimate of the unobligated funds remaining and a plan for their use. This one-time extension will not be approved solely for the purpose of using the unliquidated balances.

POST-AWARD MANAGEMENT

Reporting Requirements

After an award is conferred, the grantee shall provide a semi-annual financial report to the Gulf Research Program to report on grant expenditures to date under the grant. The grantee shall provide an annual written report to the Gulf Research Program to report on activities being carried out under the grant, including but not limited to project accomplishments to date and grant expenditures. No later than sixty (60) days after the expiration of the award, the grantee shall provide in writing a final grant report. The final grant report shall address the original objectives of the project as identified in the grant proposal, describe any changes in objectives, describe the final project accomplishments, and include a final project accounting of all grant funds.

Data Management

Implementation of the data management plan will be monitored through the annual and final report process. Annual project reports required for all multi-year awards must include an account of ongoing data management and the accessibility (e.g., sharing) of research information products (e.g., digital object identifiers [DOIs] or accession numbers for digital information; citations of relevant publications, conference proceedings, and conference presentations; and other types of dissemination). In addition, the report must articulate any current or foreseeable changes to the original plan. Continued funding for subsequent years of multi-year projects will be contingent upon acceptable performance, which includes adherence to the data management plan.

Final project reports, which are required for all awards, must describe the implementation of the data management plan. They must also clearly describe any changes from the original plan. At a minimum, the final report should include descriptions of the following:

- Data, datasets, and information products produced during the award period.
- Metadata (that describe the project and that describe the data and other information products) produced during the award period.
- Data, other information products, and associated metadata that will be maintained or curated after the award expires.
- Dissemination activities (e.g., publication of results and data, presentation of results and data).
- The curation facility or facilities (e.g., digital repository) where project data and other information products have been deposited or are being curated for long-term management and accessibility.
- Verification that the data and other information products are, or at least will be, widely discoverable and accessible (e.g., DOIs for data and other information products).
- In addition to evaluating the final report descriptions, the Gulf Research Program may review any digital products curated in digital repositories or otherwise curated to ensure that they are properly preserved, documented, and accessible.

Scientific Integrity

A fundamental purpose of the Gulf Research Program is to facilitate the advancement of knowledge and the application of the science to address challenges relevant to the Program's mission. All activities of the Gulf Research Program will be conducted to meet the highest standards of scientific integrity. All grantees have a responsibility to use the funds wisely. To continue the emphasis on scientific integrity throughout the award period, the Gulf Research Program will ask all researchers, trainees, and fellows to comply with professional standards as defined by the National Academies of Sciences, Engineering, and Medicine report [On Being A Scientist: A Guide to Responsible Conduct in Research](#).

GRANT TERMS AND CONDITIONS

Please be advised that the Gulf Research Program expects applicants to have reviewed the Grant Agreement prior to submitting an application to ensure that the applicant is aware of the applicable terms under which the grant is offered. It is the policy of National Academies of Sciences, Engineering, and Medicine to entertain potential modifications to the Grant Agreement only under the most exceptional circumstances. Rather, successful applicants are strongly encouraged to sign the Grant Agreement as presented.

Sample Grant Agreements for:

- [Public institutions](#)
- [Private institutions](#)

URLs FOR IMPORTANT HYPERLINKS

Below are shortened web addresses that will take you to the destination of important hyperlinks present in this document if you are viewing it in hard copy. Enter the URLs into a browser exactly as they appear, including letter case.

- Online version of RFA: nationalacademies.org/gulf/grants/soes-4
- Sign up for e-updates: bit.ly/grp-updates
- GRP online application system: bit.ly/grp-appsystem
- *The Human Factors of Process Safety and Worker Empowerment in the Offshore Oil Industry*: bit.ly/2Eoa3Lf
- *SPE Summit: Safer Offshore Energy Systems*: bit.ly/2S7nuTV
- Sample Eligibility Form: bit.ly/2BzKZ0T
- Sample Contact Information Form: bit.ly/2QXdi2S
- Sample Letter of Intent Form: bit.ly/2R4QuOy
- Sample Full Proposal Form: bit.ly/2R28pWf
- Sample Budget Justification: bit.ly/2EuJ5lh
- Budget Form: bit.ly/2QB5GUu
- Resume Specifications: bit.ly/2UNG7xX
- Collaborators and Other Affiliations Form: bit.ly/2SUGfKi
- Current and Pending Support Form: bit.ly/2GI05Na
- Sample Timeline: bit.ly/2S5CfX7
- GRP Conflict of Interest and Confidentiality Policies: bit.ly/2QE17ez
- GRP Data Management Policy: bit.ly/2Ly5DFv
- GRP Data Management web page: bit.ly/2CLt19T
- On Being A Scientist: bit.ly/onbeingsci
- Sample Grant Agreement—Public Institution: bit.ly/2EnBFjD
- Sample Grant Agreement—Private Institution: bit.ly/2Erlbab

QUESTIONS?

- See our [Frequently Asked Questions](#) pertaining to grants.
- Send questions about the grants to gulfgrants@nas.edu.

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