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Invitation to Submit Restoration Proposals for Federal Fiscal Year 2003 Phase I

February 2002

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Invitation to Submit Restoration Proposals for Federal Fiscal Year 2003: Phase I

February 15, 2002

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DATES TO REMEMBER in 2002

- **April 15:** Phase I proposals due
  Project reports due

  If you have questions about the proposal process, call the Anchorage Restoration Office:
  1-907-278-8012
  1-800-478-7745 toll free within Alaska
  1-800-283-7745 toll free outside Alaska

- **June 15:** Draft Work Plan: Phase I released

- **July 17:** Comments due on Draft Work Plan: Phase I

- **Aug. 2*:** Trustee Council decision

* Tentative date

Invitation to Submit Restoration Proposals for Federal Fiscal Year 2003: Phase I

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INTRODUCTION

In 1989, the *T/V Exxon Valdez* spilled 11 million gallons of crude oil into Prince William Sound. In 1991, the U.S. District Court approved a civil settlement that required Exxon Corporation to pay the United States and the State of Alaska $900 million to restore the resources injured by the spill, and the reduced or lost services (human uses) the resources provide. Under the court-approved terms of the settlement, a Trustee Council of three federal and three state members administers the restoration fund to restore the resources and services injured by the spill.

Each year the Trustee Council invites individuals, private industry, government agencies, and other interested parties to submit proposals for restoration projects to be included in the annual work plan. Because the schedule for finalizing the Council's long-term monitoring and research program, GEM (Gulf Ecosystem Monitoring & Research), has been delayed somewhat–it is still under review by the National Research Council and will not be available for adoption by the Trustee Council until June 2002–the FY 03 invitation will be issued in two parts:

Phase I, which is this invitation, solicits proposals to (a) continue FY 02 projects on lingering oil-related injury and conduct new, innovative work on lingering oil effects and (b) continue FY 02 GEM transition projects and conduct new GEM-related synthesis projects. The total amount of awards under Phase I will be roughly $1.5-2.0 million.

Phase II, which will be issued in late summer 2002, will solicit proposals to begin implementation of GEM. The total amount of awards under Phase II will be roughly $2.5-3.0 million.

The two-part invitation is a change from previous years, in which a single annual invitation has been issued. We hope it does not create confusion for project proposers.

This invitation has three parts:

- **Introduction.** This section describes the work plan process, funding caps, and cost estimates for Phase I projects. This section also includes an update on GEM and a notice for a Broad Agency Announcement (BAA) that is being issued concurrently with this invitation.
- **Invitation and Restoration Strategies.** This section is organized by 10 "clusters." The clusters represent a classification system designed to simplify presentation and understanding of the types of projects of interest to the Trustee Council. Each cluster description identifies the proposals being invited for FY 03.
- **Instructions for Submitting a Proposal.** This section gives detailed instructions for preparing and submitting a proposal. It also describes how proposals will be evaluated.

Please be advised:
There is no advantage to submitting a proposal for GEM implementation during Phase I in order to "get in early" on Phase II. Proposals not responsive to the Phase I invitation will not be considered, and will have to be rewritten and reformatted to be fully responsive to the criteria and format requirements of the Phase II invitation.

Work Plan Process

Milestones in the development of the FY 03 work plan are described in Table 1.

Table 1. Milestones for FY 03 Work Plan

	Feb. 15, 2002	*Invitation to Submit Restoration Proposals for Federal Fiscal Year 2003: Phase I* issued.
➜	April 15, 2002	Phase I proposals due.
	May 11-12, 2002	Chief Scientist and core reviewers meet to discuss the scientific and technical merits of Phase I proposals.
	June 15, 2002	*FY 03 Draft Work Plan: Phase I* out for public comment.
	July 18, 2002	Public comments due on *FY 03 Draft Work Plan: Phase I.*
	Aug. 6, 2002*	Trustee Council expected to decide on Phase I.
	Aug. 2002*	*Invitation to Submit Restoration Proposals for Federal Fiscal Year 2003: Phase II* issued.
	Sept. 2002*	Phase II proposals due.
	Oct. 2002*	*FY 03 Draft Work Plan: Phase II* out for public comment.
	Nov. 2002*	Trustee Council expected to decide on Phase II.

** tentative date (actual date will be posted on Trustee Council web site in June)*

Funding Caps

As part of its decision to establish GEM, the Trustee Council established an investment fund and adopted an investment strategy which provides for inflation-proofing the fund and includes annual funding caps for FY 03 and all future years. The caps include both the work plan (all monitoring, research, and general restoration projects) and the public information/science management/administrative costs of the program.

As illustrated in Table 2, the cap for FY 03 has been set at $6.0 million. Public information/science management/administrative costs are expected to be roughly $1.0-1.5 million in FY 03, leaving roughly $4.5-5.0 million for the work plan. Of this amount, $1.5-2.0 million is expected to be awarded during Phase I of the invitation, and $2.5-3.0 million is expected to be awarded during Phase II.

The cap for FY 04 has also been set at $6.0 million. Beginning in FY 05, the cap will be determined by investment earnings. The Trustee Council's investment strategy provides for spending at a level not to exceed 4.5 percent of the average market value of the fund over the prior three to five years.

Table 2. Program Funding

	FY 03 and Future Year Caps	
➜	FY 03	$6.0 million
	FY 04	$6.0 million
	FY 05	$5.6 million (estimate)
	FY 06 +	$5.7 million (estimate)

Project Cost Estimates for FY 03: Phase I

The amount of funding allocated to individual projects is determined each year by the Trustee Council through the work plan process. For FY 03, the Council expects to allocate roughly $1.5-2.0 million under Phase I (for continuing projects, new innovative projects on lingering oil effects, and new GEM-related synthesis projects) and $2.5-3.0 million under Phase II (proposals to begin to implement GEM).

Each year's work plan includes estimates of future costs for projects that will continue the following year. The FY 02 work plan estimates that the FY 03 cost for nine projects continuing from FY 02 will be about $850,000 (this includes an estimate of bench fees for one project that will likely continue at the Alaska SeaLife Center). Nine additional projects funded in FY 02 may continue into FY 03, but the Council has not made a commitment to continue them, due to uncertainty about their future scope or cost or their priority in terms of the overall restoration program. Cost of these potential continuing projects in FY 03, if funded, would be about $550,000 for a total of roughly $1.4 million in continuing projects. All of the continuing and potential continuing projects are expected to be addressed in Phase I, which leaves a small amount of funds (roughly $100,000-600,000) available for new projects under Phase I.

Table 3 summarizes the costs of new and continuing projects in Phase I. The individual projects which make up these estimates are discussed in the Invitation and Restoration Strategies section of this invitation.

Table 3. Projections of New and Continuing Projects for FY 03: Phase I

	Number of Projects	Estimated Cost
Continuing Projects	9	$850,000
Potential Continuing Projects	9	$550,000
New Projects	Unknown	$100,000-600,000
Rough Estimate of Phase I Allocation:		**$1,500,000-2,000,000**

Notice of Broad Agency Announcement (BAA)

As part of this invitation, the National Oceanic and Atmospheric Administration (NOAA) is issuing a Broad Agency Announcement on behalf of the Trustee Council, requesting proposals for any of the research or monitoring topics identified in this invitation. Proposers representing private organizations, non-profit groups, and universities from states other than Alaska, please see page 24 for information on submitting a proposal under the BAA.

UPDATE ON GEM

GEM, the Gulf of Alaska Ecosystem Monitoring and Research Program, is the Trustee Council's long-term commitment to gathering information about the physical and biological components that make up the world-renowned ecosystem of the Gulf of Alaska. The flagship of GEM will be a long-term monitoring program. GEM will also include short- and long-term research. It will be funded with a $120 million endowment from the remaining *Exxon Valdez* oil spill settlement funds, and is expected to have an annual budget of $5 million to $6 million a year.

A draft of the GEM Program Document, which spells out the GEM mission, goals, conceptual foundation, and central hypothesis and contains a draft monitoring and research plan, is currently undergoing external review by the National Research Council (NRC) of the National Academy of Sciences. The NRC's review is to be complete in April 2002. Following receipt of that review, and any necessary revisions or adjustments, the GEM Program Document will be presented to the Trustee Council for adoption in June 2002.

Proposals for implementation of GEM were originally scheduled to be solicited in this invitation (February 2002). However, the schedule for completion of GEM has been somewhat delayed. The FY 03 invitation is therefore being issued in two phases.

FY 03 Invitation: Phase I – February 2002

At this time, only a few GEM proposals are being solicited:

(a) new proposals under the GEM Transition: Synthesis and Retrospective Analysis cluster (as well as new innovative proposals on lingering oil effects) and

(b) proposals to continue GEM transition projects begun in FY 02 (as well as proposals to continue FY 02 projects on lingering oil-related injury).

If you are planning to submit a proposal under Phase I, you should first review the draft GEM Program Document, which is available on the Trustee Council's web page: www.oilspill.state.ak.us. Although the document will not be final until adopted by the Trustee Council, it is appropriate to use the draft document to guide development of GEM proposals for Phase I.

FY 03 Invitation: Phase II – late summer 2002

Phase II, to be issued in late summer 2002, will solicit proposals to begin to implement GEM. Additional synthesis and retrospective analysis proposals will also be solicited.

Please be advised that a new data policy will be developed for GEM. The new policy will likely apply to all projects that receive FY 03 funding. All prospective EVOS investigators will be advised of the new data policy prior to Phase I funding awards.

There is no advantage to submitting a proposal for GEM implementation during Phase I in order to "get in early" on Phase II. Proposals not responsive to the Phase I invitation will not be considered, and will have to be rewritten and reformatted to be fully responsive to the criteria and format requirements of the Phase II invitation. Proposers should be advised that the response time under Phase II may be quite brief.

INVITATION AND RESTORATION STRATEGIES

This part of the invitation contains an entry that looks like this page for each cluster. The opening paragraphs provide a brief description of each cluster. The description is followed by a section called "Strategies for FY 03" and a section called "Invitation for FY 03."

STRATEGIES FOR FY 03

For each cluster, this section summarizes the strategies, or projects, the Trustee Council funded in FY 02 and expects to continue funding in FY 03 to restore the resources and services injured by the oil spill.

INVITATION FOR FY 03

For each cluster, this section invites a proposal for each of the projects the Trustee Council expects to continue from FY 02. Before making FY 03 funding decisions on continuing projects, the Council will reassess each project's progress, information gained during the year, and restoration needs and project budgets.

Potential Continuing Projects.
Each cluster includes, in a box like this, a description of additional projects funded in FY 02 that may be continued in FY 03. The Trustee Council has not made a commitment to continue these projects because of uncertainty about their future scope or cost, or their priority in terms of the overall restoration program.

New Projects.
Also included in the box is text describing new projects for which proposals are invited. As noted earlier, very few new projects are being solicited in this invitation. The FY 03 invitation will have two phases. This is Phase I, which focuses primarily on continuation of projects already underway in FY 02. Proposals for new GEM projects are being solicited at this time under the GEM Transition: Synthesis and Retrospective Analysis cluster only. Proposals to conduct new, innovative work on lingering oil effects are also being solicited. New proposals that begin to implement GEM will not be considered until Phase II. A separate invitation for Phase II will be issued in late summer 2002.

Oil Spill: Lingering Injury

The Trustee Council continues to be concerned about *Exxon Valdez* oil remaining in the marine environment and any effects it may be having. As of 2001, there was evidence that oil spilled in 1989 was continuing to expose sea otters and some seabirds. These populations also showed lack of recovery in areas where oil exposure has persisted. Because of the concern about the consequences of this continuing exposure on recovery of injured populations, linkages between exposure and population effects will be investigated in ongoing studies. The recovery from injuries occurring back to 1989 also is still of interest.

STRATEGIES FOR FY 03

Four Trustee Council-funded projects will conclude in FY 02: *Were Pink Salmon Embryo Studies Biased? (\492), Methods to Discriminate Herring Stocks (\538), Oil Remaining in the Intertidal (\543),* and *River Otter Synthesis (\593).* The following projects are ongoing. Also see Potential Continuing Projects in the box below.

Effects of Oiled Incubation on Reproduction (\476). FY 03 will be the closeout year for this project, which is determining if oil exposure during incubation could explain reduced gamete viability previously reported for pink salmon in Prince William Sound (Project \191A). Examination of the parental generation (P1) to produce offspring (F1) is underway. The P1 was exposed when they incubated in 1998; the F1 incubated in clean water beginning in FY 01. At the end of FY 02, the F1 will be recovered when they return as mature adults and their ability to produce viable offspring (F2) will be measured. A diminished ability to produce the F2 generation would represent a genetic effect transmitted to unexposed generations. Such an effect would be consistent with findings of Project \191A, but corroborating experimental data do not exist.

Lingering Oil: Bioavailability & Effects (\585). This project was conceived following a shoreline survey of western Prince William Sound in 2001 (Project \543), which found about 20 acres of still contaminated beach. The project integrates studies of continued assessment of oil persistence in the sound with potential effects on sea otters and harlequin ducks. Its aim is to determine if the signs of continued oil exposure in these two still-injured species are linked to the oil remaining in intertidal sediments. FY 03 will provide closeout funds (final data analysis and report writing) for the project.

INVITATION FOR FY 03

The Trustee Council expects that the following projects will be continued from FY 02 and invites proposals for work planned in FY 03. Their FY 03 costs are estimated below.

FY 03	\476	Effects of Oiled Incubation on Reproduction	$36,000	
	\585	Lingering Oil: Bioavailability & Effects	$30,000	
		Total FY 03:		**$66,000**

Potential Continuing Projects. The following projects were funded in FY 02. The Trustee Council has not made a commitment to continue them in FY 03 because of uncertainty about their scope or cost in FY 03, or, in the case of Project /290, its priority under GEM. The Council expects to receive proposals in April 2002 to fund these projects in FY 03.

Genome Linkage Map (\190). FY 03 would be the closeout year for a project that, in FY 99, completed construction of a detailed map of the pink salmon genome. Work has continued since that time to apply the map to the question of what genetic traits of pink salmon affect growth and survival. In addition, the work being done under this project will lay the foundation for experiments to answer questions important to fisheries management about hatchery/wild fish interactions.

Hydrocarbon Database (\290). This project is described in the Data Management & Information Transfer cluster.

New Projects.

The Trustee Council does not anticipate any new projects, but will review and evaluate any innovative proposals that would investigate links between remaining oil and its lingering effects in the spill area.

Oil Spill: Recovery Monitoring

A large part of the restoration program has been monitoring for recovery from the effects of the oil spill. Projects in this cluster deal mainly with population level recovery monitoring with some investigations of causes of slow recovery in selected populations. The Trustee Council continues to be concerned with tracking of selected injured populations whose long-term welfare is a central concern also of the GEM program.

STRATEGIES FOR FY 03

Seven Trustee Council-funded projects will conclude in FY 02: *Killer Whale Investigation (\012), Common Murre Population Monitoring (\144), Seabird Boat Surveys (\159), Community-Based Harbor Seal Biosampling (\245), Harlequin Duck Population Dynamics (\247), Harbor Seal Diet: Lipid Metabolism & Health (\441),* and *Effects of Herring Disease on Recovery (\462).* The following project is ongoing. Also see Potential Continuing Projects in the box below.

Bivalve Recovery on Treated Beaches (\574). This project, initiated in FY 02, is extending sampling conducted from 1989-97 by the National Oceanic and Atmospheric Administration's HAZMAT program to document continuing effects of shoreline cleanup on populations of important bivalves. Many fine sediments were washed off of beaches in Prince William Sound by high-pressure hot-water washing during spill clean-up. The HAZMAT studies suggest that bivalve assemblages that inhabit these fine sediments continue to be depressed. The sampling extension funded by the Trustee Council is intended to allow the HAZMAT results to be generalized throughout the sound. FY 03 will be the closeout year for the project.

INVITATION FOR FY 03

The Trustee Council expects that the following project will be continued from FY 02 and invites a proposal for work planned in FY 03. Its FY 03 cost is estimated below:

FY 03	\574	Bivalve Recovery on Treated Beaches	$35,300

Potential Continuing Projects. The following project was funded in FY 02. The Trustee Council has not made a commitment to continue it in FY 03 because of uncertainty about its scope and cost in FY 03. The Council expects to receive a proposal in April 2002 to fund this project in FY 03.

Harbor Seals: New Technologies for Monitoring Recovery (\558). This project, which is investigating potential new technologies to assess and monitor the endocrine and immune systems of harbor seals as diagnostic measures of their health, will close out in FY 03. The project is being conducted at the Alaska SeaLife Center.

New Projects.

The Trustee Council does not anticipate any new projects, but will review and evaluate any innovative proposals that would investigate links between remaining oil and its lingering effects in the spill area.

Oil Spill: Ecosystem Recovery & Function

The Trustee Council has taken an ecosystem approach to restoration. This has meant investigating the factors constraining populations' full recovery following the spill in order to acquire a greater understanding of the ecological connections of injured species to their environment. Follow-up studies to the Council's large ecosystem projects (SEA, APEX and NVP) are in this cluster as are studies that monitor productivity of the environment and monitor predators that may be inhibiting some population recovery.

STRATEGIES FOR FY 03

Six Trustee Council-funded projects will conclude in FY 02: *APEX Manuscripts (\163M), Pristane Monitoring in Mussels (\195), SEA: Printing Final Report (\320), Salmon Shark Assessment (\396), Spot Shrimp Population (\401),* and *Seabirds: Food Stress & Survival Reproduction (\479).* The following project is ongoing:

Population Change in Nearshore Vertebrate Predators (\423). This project is investigating evidence of ongoing injury to harlequin ducks and sea otters. This work follows directly on the results of the Nearshore Vertebrate Predator project, which concluded its field studies in FY 98. In FY 02, sea otter work will include aerial surveys of distribution and abundance and estimates of age-specific survival rates. Harlequin duck field studies will examine the relationship between survival and CYP1A. Captive studies on harlequins at the Alaska SeaLife Center will examine the relationships between oil exposure and CYP1A induction, and metabolic and behavioral consequences of oil exposure. The sea otter component will be closed out (final data analysis and report writing) in FY 03. The harlequin duck component will be closed out or continued in FY 03; this determination will be made following a review of harlequin duck recovery status in Spring 2002.

INVITATION FOR FY 03

The Trustee Council expects that the following project will be continued from FY 02 and invites a proposal for work planned in FY 03. Its FY 03 cost is estimated below:

FY 03	\423 Population Change in Nearshore Vertebrate Predators	$189,000

New Projects.
The Trustee Council does not anticipate any new projects, but will review and evaluate any innovative proposals that would investigate links between remaining oil and its lingering effects in the spill area.

Oil Spill: General Restoration

General restoration activities have been a principal tool used to focus on the restoration of individual injured resources and services. Some general restoration activities improve the rate of natural recovery. For example, the Trustee Council has taken direct action to supplement some populations of animals, mainly salmon through egg incubation and smolt transplanting techniques. Other activities protect natural recovery by managing human uses or reducing marine pollution.

A project that is constructing facilities to store archaeological artifacts recovered from Prince William Sound and lower Cook Inlet following the spill, and to provide opportunities for people to view these artifacts, is also included in this cluster.

STRATEGIES FOR FY 03

Two Trustee Council funded projects will conclude in FY 02: *Kametolook River Coho Salmon (\247) and Solf Lake Sockeye Salmon Stocking (\256B).*

Two projects that are funded outside of the annual work plan of research, monitoring, and general restoration projects will likely continue in FY 03.

- Funding for the Lower Cook Inlet Waste Management Plan Implementation: Phase 1 (Project \514, $47,900) was approved by the Trustee Council in FY 02, with funding for Phase 2 scheduled for consideration by the Council later in FY 02. These are capital funds that will not expire until the project is complete; work on the project is expected to continue in FY 03.

- In January 1999, the Trustee Council authorized $2.8 million for a grant to Chugachmiut, Inc. to develop a regional archaeological repository in Seward, local display facilities, and traveling exhibits. Local display facilities are being developed in Chenega Bay, Tatitlek, Cordova, Valdez, Port Graham, Nanwalek, Seldovia, and Seward. The purpose of this project is to provide appropriate facilities to store artifacts recovered from Prince William Sound and lower Cook Inlet during the spill response, damage assessment, and restoration efforts and to provide opportunities for people to view these articles and other materials with restoration value. The archaeological repository is scheduled in open in spring 2002. Work on the other components of the project is expected to continue in FY 03.

INVITATION FOR FY 03

New Projects.
The Trustee Council does not anticipate any new projects, but will review and evaluate any innovative proposals that would investigate links between remaining oil and its lingering effects in the spill area.

GEM Transition: Strategies to Improve Monitoring

Projects in this cluster make it possible for teams of scientists and community members to collaborate on the design of GEM monitoring and research activities. Strategic projects of this type, and projects building on the results of successfully completed projects such as those described below, are expected to be very important to developing GEM during the early years of the program. Projects are expected to pull together teams that span scientific disciplines, multiple agencies and governments, and multiple community groups to develop plans for monitoring and research implementation in the oil spill affected region. Plans will be built around the GEM mission, goals, conceptual foundation, and central hypothesis.

STRATEGIES FOR FY 03

Two Trustee Council-funded projects will conclude in FY 02: *Nearshore/Intertidal Monitoring Workshop (\395)* and *Marine-Terrestrial Linkages in the Kenai River Watershed (\612)*. No projects in this cluster are ongoing.

INVITATION FOR FY 03

New Projects.

All new projects in this cluster should be submitted in response to the FY 03 Phase II invitation, to be issued in late summer 2002 when the final GEM Program has been adopted by the Trustee Council.

Please see page 4 for more information on the status of GEM.

GEM Transition: Tools to Improve Monitoring

New and improved technologies and innovative applications of existing tools to monitoring are essential to any information gathering program such as GEM. Improving precision and continuity of existing measurements, decreasing the unit cost of collecting information, and providing new cost-effective methods and platforms for data collection are all activities that are necessary to the long-term maintenance of GEM. Past and future projects in this area provide for proof of concept and/or technology transfer of innovative, cost-effective technologies for observing biological and physical phenomena of basic scientific value that are of ultimate interest to the mission and goals of GEM.

Proposals in this cluster seek to develop cost-effective data acquisition technologies, systems, and sampling strategies for resource managers to use in counting and understanding the biology and habitats of fish and animals of interest to the Trustee Council. Technologies of interest are remote sensing, including visible light video and photographic imaging, codar, radar and lidar; transmission of digital images; automated processing of information from digital images; hydroacoustics; archival tags; oceanographic moorings; plankton counters; and statistical design of surveys. Also of interest is placement of oceanographic instrumentation on ships of opportunity, such as tankers, cruise ships, fishing vessels, and ferries, to establish and perpetuate long-term biological and physical sets of observations on the marine environment.

Other technologies of interest are low-cost nearshore monitoring stations to gather information on species composition and rates of settlement of shellfish, barnacles, algae, and other important marine organisms, and monitoring stations capable of remote telemetry of temperature, salinity, currents, zooplankton densities, and other data relevant to fisheries and oceanographic investigations. Significant cost sharing arrangements with other funding sources, such as vessel owners and the North Pacific Research Board, is a strategy typical of work in this area.

STRATEGIES FOR FY 03

Three Trustee Council-funded projects will conclude in FY 02: *Testing Archival Tag Technology in Alaska Salmon (\404), Ships of Opportunity: Plankton Survey (\624),* and *Ships of Opportunity: Kachemak Bay & Lower Cook Inlet (\671).* The following project is ongoing. Also see Potential Continuing Projects in the box below.

Ships of Opportunity: Temperature, Salinity, & Fluorescence (\614). Placement of oceanographic instrumentation packages on "ships of opportunity", such as oil tankers, cruise ships, fishing vessels, and ferries, is an innovative and cost-effective means of obtaining long-term biological and physical sets of observations on portions of the marine environment that are otherwise very expensive to study. In FY 02, this project will install a thermosalinograph and fluorometer on a crude oil tanker traveling between Valdez, Alaska and Long Beach, California in order to test the feasibility of this method for use under GEM. FY 03 will be the closeout year (final data analysis and report writing) for this project, and the feasibility and desirability of incorporating some form of this project as a continuing element of GEM will be evaluated at that time.

INVITATION FOR FY 03

The Trustee Council expects that the following project will be continued from FY 02 and invites a proposal for work planned for FY 03. Its FY 03 cost is estimated below:

FY 03	\614 Ships of Opportunity: Temperature, Salinity, & Fluorescence	$38,200

Potential Continuing Projects. The following project was funded in FY 02. The Trustee Council has not made a commitment to continue it in FY 03 because of uncertainty about its future scope or its priority in terms of the overall restoration program. The Council expects to receive a proposal in April 2002 to fund this project in FY 03.

Airborne Remote Sensing Tools (\584). In FY 02, this project is exploring airborne remote sensing instrumentation as a monitoring tool for GEM. This technique could allow synoptic mapping of physical and biological phenomenon in the upper 50 meters of the water column over large areas of the Gulf of Alaska. The amount of Trustee Council funding in FY 02 is modest. The Council has not made a commitment to FY 03 funding because the potentially large out-year costs identified by the principal investigator are likely to require coordination with, and commitments from, additional funding sources such as the North Pacific Research Board, NASA, and other state and federal agencies. The FY 03 proposal should include a clear description of participation in the project by other funding entities.

New Projects.

All new projects in this cluster should be submitted in response to the FY 03 Phase II Invitation, to be published in late summer 2002 when the final GEM Program has been adopted by the Trustee Council.

Please see page 4 for more information on the status of GEM.

GEM Transition: Synthesis & Retrospective Analysis

The integration and synthesis of existing data sets and literature records provide an ecological context within which the Trustee Council, scientific community, and public may view the effects of changes in valued natural resources, including the effects of the oil spill, and the long-term restoration and management of injured resources and services. Synthesis activities put useful information into the hands of scientists, natural resource managers, resource-dependent community members, and educators. Synthesis will be an important part of GEM, as it provides an essential reference for development of long-term restoration, research, monitoring, and management activities.

STRATEGIES FOR FY 03

One Trustee Council-funded project will conclude in FY 02: *Digital ESI Maps-Cook Inlet/Kenai (\622)*. The following projects are ongoing. Also see Potential Continuing Projects in the box below.

EVOS Synthesis, 1989-2001 (\600). This project, which began in FY 02, is synthesizing the significant results from twelve years of post-spill study under the EVOS damage assessment and restoration programs. The results of the synthesis, which is being conducted under the leadership of the Trustee Council's long-time Chief Scientist, will be incorporated into a series of manuscripts that will be published as a journal volume or book. This project will serve to inform the public about the EVOS legacy in a scientifically rigorous yet readable volume and provide a foundation for GEM. The project is scheduled to conclude in FY 04.

Reconstructing Sockeye Populations (\649). FY 03 will provide closeout funds for this project, which is conducting a retrospective study of sockeye abundance in several lakes in the spill region. The project is using stable nitrogen isotope ratios in lake sediments to reconstruct the historical variation in contributions of marine nitrogen to the Eshamy, Upper Russian, Delight, Desire, and Karluk lake systems. Past work has shown that fluctuations in sockeye salmon runs to lakes are approximated by the variability in the nitrogen isotope ratios in sediments deposited at the time of salmon returns, and that salmon populations fluctuate in concordance with the Pacific Decadal Oscillation. This project should improve understanding of how the marine ecosystem is likely to change in the future under various climatic conditions.

Nearshore Analysis: Archaeology & Isotopes (\656). This project, initiated in FY 02, is investigating long-term (6,300 year) patterns of productivity and relative species abundances in nearshore communities through analysis of shells from midden remains of excavated archaeological sites along the Katmai National Park and Preserve coast. It is designed to improve understanding of long-term change in nearshore marine communities and investigate the relationship between productivity and climate. FY 03 is expected to be the final year of Trustee Council support for this project.

INVITATION FOR FY 03

The Trustee Council expects that the following projects will be continued from FY 02 and invites proposals for work planned for FY 03. Their FY 03 costs are estimated below.

FY 03	\600 EVOS Synthesis, 1989-2001	$212,000	
	\649 Reconstructing Sockeye Populations	$28,200	
	\656 Nearshore Analysis: Archaeology & Isotopes	$18,000	
	Total FY 03:		**$258,200**

Potential Continuing Projects. The following project was funded in FY 02. The Trustee Council has not made a commitment to continue it in FY 03 because of uncertainty about its future scope. The Council expects to receive a proposal in April 2002 to fund this project in FY 03.

Commercial Fishing Management Applications (\636). This project was funded in FY 02 as a step in building a bridge between the fishing community and the scientific community. The EVOS program can benefit from the commercial fishing community's perspective on restoration results and from interaction with commercial fishers on how to incorporate the results into fisheries management practices. In FY 02, it is anticipated that a fisheries management applications working group will review the results of SEA (Sound Ecosystem Assessment, Project \320), APEX (Alaska Predator Ecosystem Experiment, Project \163), and other completed restoration projects. If the FY 02 project results are promising, the Trustee Council will consider a proposal to continue the project in FY 03.

New Projects.

New synthesis projects that are modest in scope (less than $30,000 per project) are invited at this time. Successful proposals would use data, literature and other information sources from the Gulf of Alaska, in conjunction with supporting data and literature. Proposals should make important regional data sets or bodies of literature more readily accessible to researchers in biological and physical sciences, to regional natural resource managers, to resource-dependent people such as subsistence and commercial fishers, or to educators in natural sciences. In addition to the other requirements of this invitation, justification for synthesis proposals should address the GEM mission and goals as spelled out in the draft GEM Program Document (available on the Trustee Council's web page), the use of matching funds or in-kind contributions, availability of alternative sources of funding, and the potential user groups for the synthesis. Letters of support from individuals and groups who may use the synthesis would be advantageous.

(box continued on next page)

Examples of New Projects.

Using Past Studies. SEA, APEX and NVP–the three large EVOS ecosystem studies funded by the Trustee Council–have produced large quantities of information, as have government programs such as FOCI (Fisheries Oceanography Investigations) and SeaWIFS. Unanalyzed collections of specimens and archived samples also exist. In addition, analysis of historical records, such as sediment cores and archaeological middens, can yield data that inform current observations and trends.

Aiding Resource Management Decisions. Results and insights gained through further analysis and synthesis of existing data sets may be useful for aiding resource management decisions. Existing long-term physical and biological data sets may require targeted analysis, synthesis, and interpretation in order to be useful to natural resource managers; furthermore, the data may need to be brought to the attention of managers. Proposals in this category should identify what management need the analysis/synthesis will serve, demonstrate an understanding of the management agency's process for identifying and articulating management needs, explain how relevant data will be identified and acquired, describe the analysis/synthesis that will be done in order to provide the data in a form that supports management applications, and show how the management application will be designed and developed. Support from and participation of natural resource managers is essential. Participation of stakeholder groups will increase prospects for a successful proposal.

Analyzing/Synthesizing Key Data Sets. Further analysis/synthesis of key existing data sets can contribute to our scientific understanding of the northern Gulf of Alaska ecosystem. Proposals in this category should identify the subject of interest (such as a species, a guild of species, an ecological community, or a physical process such as a current or weather system) and the historical or contemporary data sets or collections of specimens that would be analyzed. Proposals should demonstrate familiarity with the data sources and describe what insights and lessons analysis of the data might supply.

Improving Accessibility of Research Results. Much existing data, although available in scientific publications and reports, is not readily accessible to decision makers, stakeholders, resource managers, and the public. The Trustee Council will consider proposals for creating additional formats for presenting synthesized research results, such as maps, GIS databases, and web products. Proposals in this category should identify the subject of interest, demonstrate familiarity with the data, name the intended audience for the material, and provide letters of support from potential users.

It should be noted that additional funds for synthesis and retrospective analysis will be available under the FY 03 Phase II invitation, to be issued in late summer 2002 when the final GEM Program has been adopted by the Trustee Council.

Please see page 4 for more information on the status of GEM.

GEM Transition: Monitoring

Projects in this cluster provide data and interpretations of biological and physical phenomena of interest through scientific investigations that may include community involvement. Monitoring is the action of taking long time-series observations at times and places designed to test hypotheses based on current understandings. Monitoring is essential to detecting and understanding change, because it provides the starting point for synthesis, various forms of research, modeling, and information transfer.

The Trustee Council is committed to including appropriate traditional and local knowledge and the involvement of communities in GEM. Local monitoring, documentation, and stewardship projects will be linked with other monitoring and research projects to promote the exchange of information and ideas. Partnerships between communities and scientists will be an important long-term strategy for implementing long-term monitoring under GEM.

STRATEGIES FOR FY 03

Five Trustee Council-funded projects will conclude in FY 02: *Prince William Sound & Lower Cook Inlet Youth Area Watch (\210), Oceanographic Exchange Between Prince William Sound and Gulf of Alaska (\552), Ocean Circulation Model (\603), Kodiak Youth Area Watch (\610),* and *Review of Citizens' Environmental Monitoring (\667).* The following project is ongoing. Also see Potential Continuing Projects in the box below.

Community-Based Forage Fish Sampling (\561). FY 03 will provide closeout funds for this project, which is visiting communities throughout the spill area to explore involving local residents in long-term forage fish monitoring studies. The project will contribute to understanding the feasibility of community-based sampling programs in general, and therefore is an important part of GEM transition. Review of the project results will include an evaluation of the feasibility and desirability of incorporating some form of this project as a continuing element of GEM.

INVITATION FOR FY 03

The Trustee Council expects that the following project will be continued from FY 02 and invites a proposal for work planned in FY 03. Its FY 03 cost is estimated below.

FY 03	\561 Community-Based Forage Fish Sampling	$11,600

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Potential Continuing Projects. The following project was funded in FY 02. The Trustee Council has not made a commitment to continue it in FY 03 because of uncertainty about its future cost and its relationship to GEM. The Council expects to receive a proposal in April 2002 to fund this project in FY 03.

Long-Term Oceanographic Monitoring, GAK1 (\340). FY 03 would be the sixth year of this project, which provides for Trustee Council support of hydrographic station GAK1 (first station of the Seward Line) and the accompanying retrospective analyses of the station's data record. GAK1 provides a long-term data set that is essential to understanding the Alaska Coastal Current and how changes in currents and climate may bring about changes in birds, fish, and mammals in the northern Gulf of Alaska. Because of the importance of this data to GEM and to other oceanographic, fisheries and wildlife studies, the Council will consider continuing this project in FY 03.

New Projects.

Although FY 02 is scheduled to be the final year of Trustee Council support for projects \210 (Prince William Sound-Lower Cook Inlet Youth Area Watch) and \610 (Kodiak Youth Area Watch), local monitoring will continue to be a priority of the Council under GEM. Council staff will be meeting with the Project \210 and \610 principal investigators, as well as representatives of similar programs, over the next several weeks to develop a strategy for including local monitoring in GEM. As a result of those meetings, proposals to continue the Youth Area Watch projects or to undertake similar efforts may be appropriate. No specific proposals are being solicited at this time.

All other new projects in this cluster should be submitted in response to the FY 03 Phase II invitation, to be issued in late summer 2002 when the final GEM Program has been adopted by the Trustee Council.

Please see page 4 for more information on the status of GEM.

Data Management & Information Transfer

The goal of GEM is to create and preserve an information legacy in the northern Gulf of Alaska. The legacy will be composed of electronic data and actual specimens that will need long-term care and active management to see that information is readily available and the integrity of original records is preserved. Projects in this cluster seek to organize and preserve data and provide the basis for transfer of information to interested parties.

STRATEGIES FOR FY 03

Two Trustee Council-funded projects will conclude in FY 02: *Archiving of Nearshore & Deep Benthic Specimens (\608)* and *Water Quality & Habitat Database (\668)*. No projects in this cluster are ongoing. See Potential Continuing Projects in the box below.

INVITATION FOR FY 03

Potential Continuing Projects. The following projects were funded in FY 02. The Trustee Council has not made a commitment to continue them in FY 03 because of uncertainty about their future scope or cost, or, in the case of Project \290, its priority under GEM. The Council expects to receive proposals in April 2002 to fund these projects in FY 03.

Hydrocarbon Database (\290). Residual oil and the extent and significance of any biological exposure to hydrocarbons is an important concern, relevant to the recovery status of injured resources and services. The Trustee Council has supported a hydrocarbon database since FY 93 as a way to compile and integrate data on hydrocarbon concentrations and biological exposure from thousands of sediment, tissue, and other samples. Prior to considering funding for continuation of the database in FY 03, an assessment of its possible role and priority under GEM needs to be undertaken.

Data System for GEM (\455). In FY 02, this project provided funding for a data systems manager for GEM. Efforts in FY 02 (hiring is expected in February 2002) will focus on development of a data policy for GEM and on system development and design. Efforts in FY 03 and beyond will include collaboration with Trustee agencies and other data systems as well as data input, linking, and management. This project is in the "potential continuing projects" category because its actual scope and cost for FY 03 is not yet known.

New Projects.

All new projects in this cluster should be submitted in response to the FY 03 Phase II invitation, to be issued in late summer 2002 when the final GEM Program has been adopted by the Trustee Council.

Community Involvement / Public Outreach / Other

Meaningful public participation is an essential part of the Trustee Council's process. An important aspect of public participation is communicating research results to the public, and ensuring that the public has access to the products of the Council's work. The Council's routine public outreach and public involvement activities (for example, the annual report, Public Advisory Group, and operations staff) are funded outside of the annual work plan (see description of Project \100 in Appendix A). Additional efforts have been undertaken and funded through the annual work plan.

Projects funded through this cluster in prior years include the Trustee Council's Community Facilitator project (\052), which has funded a community coordinator and facilitators in ten villages in the spill region, development of the Council's web page, and the 10 Years After Symposium conducted in April 1999. Several related projects –Youth Area Watch (\210 and \610) and Review of Citizens' Environmental Monitoring (\667)–are included in the GEM Transition: Long-Term Monitoring cluster.

STRATEGIES FOR FY 03

Four Trustee Council-funded projects will conclude in FY 02: *Natural Resource Management and Stewardship Capacity Building (\052), Guidance for Future Research Activities (\360), EVOS Trustee Council Final Report (\535),* and *Planning for GEM (\630).* The following project is ongoing. Also see Potential Continuing Projects in the box below.

Community-Based Forage Fish Sampling (\561). This project is described in the GEM Transition: Monitoring cluster.

INVITATION FOR FY 03

Potential Continuing Projects. The following projects were funded in FY 02. The Trustee Council has not made a commitment to continue them in FY 03 because of uncertainty about their future scope or their priority in terms of the overall restoration program.

Project Management (\250). For several years, this project has provided funds to each of the six Trustee agencies for coordinating activities between principal investigators and the Restoration Office, assisting in the development and submittal of restoration project proposals, and ensuring that reports and other contract deliverables are properly performed. Each Trustee agency has also received funding for liaison staff through Project \100 and for general administrative expenses through the Trustee Council's general administration formula (roughly seven percent of the cost of each project). In addition, other Trustee agency staff and Restoration Office staff contribute to project management responsibilities. The Council will discuss this spring if and how

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these responsibilities will be funded in FY 03 and beyond. No requests for project management funds should be submitted at this time.

Alaska Resources Library and Information Services (ARLIS, \550). This project is the Trustee Council's contribution to ARLIS. ARLIS serves as a central access point for information generated through the restoration process and as the public repository for reports and other materials generated as a result of the oil spill. The Council's initial commitment was to contribute funds to ARLIS through FY 01. In FY 02, the Council funded continuation of one librarian at ARLIS. The Council may consider a contribution for FY 03 as well, once an assessment of how ARLIS might relate to the GEM program is performed. The Council expects to receive a proposal in April 2002 to fund this project in FY 03.

New Projects.

Although FY 02 is scheduled to be the final year of Trustee Council support for Project \052 (Community Involvement/Local Stewardship), community involvement and local stewardship will continue to be priorities of the Council under GEM. Council staff will be meeting with the Project \052 principal investigators, as well as representatives of similar programs, over the next several weeks to develop a strategy for ensuring meaningful community involvement in GEM. As a result of those meetings, proposals for projects or pilot efforts may be appropriate. No specific proposals are being solicited at this time.

GENERAL INSTRUCTIONS FOR SUBMITTING A PROPOSAL

- All proposals must be received in the Anchorage Restoration Office by **Monday, April 15, 2002**. Proposals are required for all continuing projects, as well as for new projects.

- All proposals should be for federal fiscal year 2003 (FY 03), which is the period October 1, 2002 through September 30, 2003.

- Three paper copies and one electronic copy of a Detailed Project Description (DPD), prepared per the format and content instructions (pages 28-36), must be submitted. Electronic copies must be on an IBM-compatible disk in WordPerfect 9.0 or lower, or Microsoft Word 97 for Windows or lower.

- Three paper copies and one electronic copy of a Detailed Budget, prepared per the format and content instructions (page 37-50), must be submitted. An electronic copy of the Excel budget form is available from the Anchorage Restoration Office and on our web page: www.oilspill.state.ak.us

- Send your proposal by mail to (please note new address):

  Exxon Valdez Oil Spill Trustee Council
  Anchorage Restoration Office
  441 West 5th Avenue, Suite 500
  Anchorage, AK 99501

  The electronic copy (paper copies are also required) may be sent by e-mail to:
  sandra_schubert@oilspill.state.ak.us

  No faxes, please.

- All proposals and budgets submitted to the Trustee Council are considered public documents and will be available for public review.

- If you have questions about submitting a proposal, contact the Anchorage Restoration Office:

  907-278-8012
  1-800-478-7745 toll free within Alaska
  1-800-283-7745 toll free outside Alaska
  sandra_schubert@oilspill.state.ak.us

Please be advised: If you received funding from the Trustee Council in FY 01, by **Monday, April 15, 2002** you must submit an annual or final report for peer review unless other arrangements have been made with the Anchorage Restoration Office. Work with your lead agency to submit your report or to request an extended due date. *FY 03 projects will not be authorized for any proposer who has an overdue report.* (See page 27 for information on report writing procedures.)

ADDITIONAL INSTRUCTIONS FOR CERTAIN PROPOSERS

➔ **If you represent a private organization, a non-profit group, or a university from a state other than Alaska...**
and your proposal is for a research or monitoring project, you may want to submit your proposal through the Broad Agency Announcement (BAA) process, as well as to the Anchorage Restoration Office.

In most instances, requirements of state and federal law preclude Trustee Council funds from being awarded directly to private organizations, including non-profit groups, and to universities from states other than Alaska. Rather, a competitive solicitation process is required. This solicitation can occur after the Council approves funding for a project, through issuance of a Request for Proposals (RFP). Under the RFP approach, you would compete against other bidders for the funds to implement your proposal. Or this solicitation can occur before the Council approves funding for a project, through issuance of a Broad Agency Announcement (BAA) by the National Oceanic and Atmospheric Administration (NOAA). Under the BAA approach, if the Council approves funding for your project, you can begin contract negotiations with NOAA without a further competitive solicitation.

As part of this invitation, NOAA is issuing a BAA on behalf of the Trustee Council, requesting proposals for any of the research or monitoring topics identified in this invitation. To submit your proposal through the BAA process, submit a paper copy of your Detailed Project Description and budget to NOAA at the address below by 2:00 p.m. Pacific Daylight (Seattle) time on Monday, April 15, 2002. (This is in addition to the three copies of the Detailed Project Description and budget that must be submitted to the Anchorage Restoration Office.) Include the words "submitted under the BAA" as part of your project's title.

More information, including proposal evaluation criteria, is contained in the Broad Agency Announcement itself (BAA #52ABNF200037), which is available from NOAA:

Ms. Sharon Kent
NOAA, WASC, Acquisition Management Division, WC31
7600 Sand Point Way NE
Seattle, WA 98115-6349
Telephone (206) 526-4499
Fax (206) 526-6025

Research or monitoring proposals submitted to NOAA under the BAA will be evaluated by the Trustee Council at the same time as other proposals submitted to the Council.

Please note: State and federal agencies, including the University of Alaska, can receive Trustee Council funds directly and should not submit proposals through the BAA process.

➜ If you would like to conduct your work at the Alaska SeaLife Center...
indicate this in the designated place on the first page of your Detailed Project Description. In order to ensure that space at the Center is available and appropriate, proposals that indicate use of the Center in FY 03 or future years will be forwarded to the Center's scientific director for screening before the Trustee Council makes its funding decisions.

The Alaska SeaLife Center is a non-profit research center located in Seward, about 120 miles south of Anchorage. The site is on the Gulf of Alaska at the head of Resurrection Bay on the Kenai Peninsula coast, west of Prince William Sound. The Center is connected with Anchorage by road, air, and rail. It is owned by the City of Seward and operated as a non-profit corporation with an independent board and management staff. The Trustee Council contributed $25 million toward its construction.

The Alaska SeaLife Center is dedicated to understanding and maintaining the integrity of the marine ecosystems of Alaska through research, rehabilitation, and public education. The focus is on Alaskan marine mammals, marine birds, and fish, and especially on species injured by the *Exxon Valdez* oil spill. The Center has three major components: (1) a section dedicated to research, that includes wet and dry laboratories, holding tanks, and animal handling, food preparation, quarantine, and necropsy areas, (2) a large and integrated rehabilitation section, where critically injured or sick animals can be treated and health data collected for study, and (3) a visitor section where the public can view the Center's scientific program, see the species involved, and learn about the marine environment and research in Alaska. In addition, the Center has a vibrant education program that crosses all age groups, and focuses on much of the research conducted at the Center.

The Alaska SeaLife Center is designed to simultaneously support multiple research projects. The Center makes facilities available to scientific investigators for a reasonable bench fee. (Bench fees will be calculated later and need not be included in your proposal at this time.) The Center also has office, conference, and library space available for resident and visiting scientists.

Proposers interested in using the Alaska SeaLife Center are encouraged to discuss their proposals with its scientific director, Dr. Shannon Atkinson, before submitting a proposal to the Trustee Council:

Dr. Shannon Atkinson
Alaska SeaLife Center
301 Railway Avenue
Box 1329
Seward, AK 99664
Phone: 1-907-224-6346
e-mail: shannon_atkinson@alaskasealife.org

➜ If you are an employee of a Trustee Council agency...
your agency may have additional, internal requirements related to the preparation and submittal of proposals. Contact your agency liaison about internal requirements.

EVALUATION OF PROPOSALS

- **Policy and Legal Review...**
  To be eligible for funding, proposals must be designed to restore, replace, enhance, or acquire the equivalent of natural resources injured as a result of the oil spill or the reduced or lost services provided by such resources. In addition, proposals must be consistent with the policies contained in the Restoration Plan adopted by the Trustee Council in November 1994 (available from the Anchorage Restoration Office). Trustee Council staff will also review each proposal for completeness and for adherence to the format and content instructions contained in pages 28-36 of this document.

- **Scientific Review...**
  All proposals are subject to independent scientific review, conducted by the Trustee Council's Chief Scientist and nationally recognized scientific reviewers who are familiar with past restoration work and are experts in their fields. The scientific reviewers evaluate proposals according to the following criteria:
  - The scientific merits of the proposal as demonstrated through (a) understanding of the problem, (b) soundness of the technical approach, (c) innovation and uniqueness of the proposal, and (d) feasibility.
  - The extent to which the proposal will help achieve the restoration objectives identified for a given resource.
  - The proposer's capabilities, experience, and record of past performance, as well as the experience and qualifications of key personnel, and whether facilities or other factors integral to the proposal's success are available to support the proposal.
  - The cost effectiveness of the proposal.
  You may be asked to respond to scientific review comments on your proposal, or to revise your proposal to address concerns of the scientific reviewers.

- **Budget Review...**
  Trustee Council staff will examine each proposal's budget for consistency with its proposed objectives, and for adherence to the budget instructions contained in pages 37-50 of this document. You may be asked to respond to budget review questions, or to revise your budget to address budgetary concerns.

- **Public Advisory Group Review...**
  Proposals will also be reviewed by the Trustee Council's Public Advisory Group, a 17-member group representing a cross-section of interest groups affected by the oil spill.

- **Public Comment and Funding Decision...**
  The Trustee Council's Executive Director will use the recommendations of the Chief Scientist, the Public Advisory Group, and staff to compile a draft work plan that recommends which proposals should be funded under this Phase I invitation. The draft work plan will be circulated for public comment in June 2002. The Council is expected to decide on the final work plan for Phase I in August 2002. Unanimous agreement of all six Council members is required to fund a proposal.

IF YOUR PROPOSAL IS FUNDED BY THE TRUSTEE COUNCIL

Funds approved by the Trustee Council in August 2002 should be available for expenditure on October 1, 2002. Authorization to spend will be provided by the Council's Executive Director on a project-by-project basis after a project's compliance with the National Environmental Policy Act (NEPA) is documented, any project-specific conditions spelled out by the Council in their approval motion are addressed, and the principal investigator is current on the Council's reporting requirements. During project implementation, principal investigators (PIs) will be required to do the following:

- **Provide a quarterly report on your project's progress** to the Restoration Office. The report must indicate whether your project's major tasks (as identified in the Detailed Project Description) are being accomplished according to schedule and flag any problems being encountered. The report consists of a few sentences on a form supplied by the Restoration Office.

- **Attend the Annual EVOS Workshop.** In FY 03, the Trustee Council's annual workshop will be held in Anchorage for two days during January 2003 (actual dates to be announced later). All PIs are expected to attend the workshop, and some may be asked to present a poster or a talk.

- **Possibly attend a technical workshop.** Each year, the Trustee Council's Chief Scientist schedules intensive workshops on specific areas of research. These workshops are usually held in Anchorage, but may occur at other locations. Selection of the dates of the technical workshops takes into account PIs' schedules.

- **By April 15 of each year, submit for peer review an annual or final report.** Annual reports are required on multi-year projects. Final reports are required upon project completion. Reports on most projects funded for FY 03 will be due April 15, 2004. PIs must revise all final reports to respond to peer review comments, if any; revision of annual reports is generally not required. All reports are made available to the public through the Alaska Resources Library and Information Services (ARLIS). (For more information, see *Procedures for the Preparation and Distribution of Reports* available from the Anchorage Restoration Office). PIs are also encouraged to publish results of their work in the peer reviewed literature.

- **Maintain samples and data taken during the course of the project.** By court order, all samples and documents must be retained, with some exceptions. Because EVOS funds are public funds, all data collected must be available to the public. (Contact the Anchorage Restoration Office for a copy of the Trustee Council's sample destruction and data policies.) A new data policy, under development for GEM, will likely apply to all FY 03 projects. All prospective EVOS investigators will be advised of the new data policy prior to Phase I funding awards.

Each project's funds are administered by one of the six Trustee agencies. PIs will be notified following proposal review of which agency will administer their project.

FORMAT AND CONTENT:
DETAILED PROJECT DESCRIPTION (DPD)

This section contains instructions for preparing Detailed Project Descriptions (DPDs). As discussed earlier, DPDs will be reviewed for consistency with Trustee Council legal requirements and policies, scientific merit, and adherence to the content and format instructions that follow. Following these instructions carefully will facilitate proposal review.

General Formatting Instructions

- **Program.** WordPerfect 9.0 or lower, or Microsoft Word 97 for Windows or lower, IBM compatible
- **Font.** Times Roman 12 point, or similar
- **Margins.** Top and bottom 0.75"; left and right 1.0"
- **Justification.** Left
- **Header.** None
- **Footer.** On each page -- date prepared, page number, project number
- **First page.** Must be a stand-alone page. The information on the first page will be entered into the Restoration Office database and be revised as needed by Trustee Council staff -- for example, when a number is assigned to a new project, when a Lead Trustee Agency is assigned to a new project, or when budget numbers are revised. This will enable staff to produce an up-to-date first page when needed.
- **Personnel information and literature citations.** Use a separate page at the conclusion of the DPD.
- **Copies.** Copies should be submitted single-sided. Color figures or photographs will be reproduced in black and white.
- **Cover letters.** Not required.

The following pages contain additional formatting instructions and content requirements.

Please be advised: These instructions will be revised for the Phase II invitation to address GEM's mission, goals, conceptual foundation, and central hypothesis. Some sections of the current instructions may not directly apply to Phase I proposals in the GEM Transition: Synthesis and Retrospective Analysis cluster.

Project Title (Descriptive; Maximum 80 Characters); if the Project is Submitted Under the Broad Agency Announcement, add "Submitted Under the BAA" to the Title (see page 24 for a discussion of the BAA)

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Project Number:	(For continuing projects, the last three digits of the FY 02 project number preceded by "03" -- for example, 02163 would become 03163; for new projects, leave blank)
Restoration Category:	(Research, Monitoring, or General Restoration if known; otherwise, leave blank)
Proposer:	(Name of individual, government agency, or other organization -- University, etc.)
Lead Trustee Agency:	(If known -- ADEC, ADFG, ADNR, DOI, NOAA, USFS)
Cooperating Agencies:	(Trustee agencies in addition to the lead agency, if any, that are requesting funding under the project in FY 03)
Alaska SeaLife Center:	("Yes" if this project intends to use the Alaska SeaLife Center in FY 03; "no" if it doesn't)
Duration:	(What year in the project's life FY 03 is, and the number of federal fiscal years -- October 1st to September 30th -- during which funding has been received or will be requested from the Trustee Council: for example, "2nd year, 3-year project" or "1st year, 1-year project")
Cost FY 03:	(The amount of funding requested for expenditure in FY 03; show all dollar amounts in $000,000 format)
Cost FY 04:	(Most projects funded for FY 03 under this invitation (Phase I) are expected to be closeouts of ongoing projects or one-year projects (i.e., FY 03 funding only). However, a few projects may require closeout funds in FY 04 or may warrant continued field activity in FY 04 -- if so, those costs should be noted here)
Geographic Area:	(Locations where field work will be conducted: e.g., Prince William Sound, Kodiak, Kenai Peninsula)
Injured Resource/Service:	(The resource--or related service, if applicable--injured by the oil spill that the project is designed to restore; see Table 4 on the next page for a list of injured resources and services)

indent over so in alignment

Headings in all caps; bold

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ABSTRACT

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Provide a brief (8 lines or less) abstract of the project -- basically, what the project will do. If the project is simply a closeout of previous years' work, say so. The abstract may be edited for clarity, brevity, and readability by Trustee Council staff.

Please start a new page after the abstract.

note footer

Please make sure this is the beginning of a new page.

INTRODUCTION

What is the restoration effort being proposed? If the proposal is a continuation of a previous project, include a description of past efforts and results (reference projects funded in previous fiscal years and describe what has been done and what has been learned and accomplished to date), a description of the work being undertaken in FY 02, a description of the work proposed for FY 03, and the work planned for future years (each year until project completion). Also identify any other restoration projects to which the proposal is linked. Provide other background necessary to understanding the proposal.

NEED FOR THE PROJECT

A. Statement of Problem

What is the problem the project is designed to address? Discuss which injured resource or service the project is designed to restore. Only projects that are designed to restore the resources or services identified in Table 4 will be evaluated for FY 03 unless new scientific or local knowledge shows that other resources experienced a population-level injury or continuing sublethal effect. However, a project may address resources not listed in Table 4 if it will benefit an injured resource or service. For example, it may be permissible to focus activities on a resource not listed in Table 4 if the activities will help subsistence or commercial fishing.

Table 4. Resources and Services Injured by the Spill

INJURED RESOURCES			LOST or REDUCED HUMAN SERVICES
Recovered	**Recovering**	**Not Recovering**	**Recovering**
Bald eagle	Archaeological resources	Common loon	Commercial fishing
River otter	Black oystercatcher	Cormorants (3 species)	Passive uses
	Clams	Harbor seal	Recreation and tourism including sport fishing, sport hunting, and other recreational uses
	Common murre	Harlequin duck	
	Intertidal communities	Killer whale (AB pod)	
	Marbled murrelet	Pigeon guillemot	
	Mussels		Subsistence
	Pacific herring	**Recovery Unknown**	
	Pink salmon	Cutthroat trout	
	Sea otter	Designated wilderness areas	
	Sediments	Dolly Varden	
	Sockeye salmon	Kittlitz's murrelet	
	Subtidal communities	Rockfish	

B. Rationale/Link to Restoration

Why should the work be done? Discuss how the project will address the problem -- that is, help recovery. The Trustee Council's comprehensive approach to the restoration of injured resources and services, as outlined in the Restoration Plan, includes research, monitoring, general restoration, habitat protection/acquisition, and establishment of a restoration reserve. This invitation invites proposals for research projects (which provide information needed to restore an injured resource or service), monitoring projects (which gather information about how resources and services are recovering or whether restoration activities are successful), and general restoration projects (which improve the rate of natural recovery by directly manipulating the environment, managing human uses, or reducing pollution).

leave a space between paragraphs

If your proposal is for a research project, describe how the information developed by the proposal will contribute to achieving recovery objectives. Give specific examples whenever possible. For monitoring projects, explain why monitoring needs to be done this year or on the schedule being proposed. For general restoration projects, describe what will be produced or accomplished that will contribute to achieving recovery objectives.

C. Location

Where will the project be undertaken? Where will the project's benefits be realized? List communities that may be affected by the project.

COMMUNITY INVOLVEMENT AND TRADITIONAL KNOWLEDGE

How will affected communities be informed about the project and provide their input? How will research findings and other project information be communicated in non-technical language to local communities? To what extent will local hire and expertise be used for the acquisition of vessels, technicians, equipment, and other locally available resources? To what extent will traditional and local knowledge be incorporated into the project?

In response to concerns expressed by residents of spill-area communities, particularly subsistence users, the Trustee Council is making a concerted effort to increase communication with spill-area residents about restoration efforts and to encourage principal investigators to incorporate and involve traditional and local knowledge in the development and implementation of restoration projects. Principal investigators, particularly those whose projects involve work in or near a community or resources and services which are of particular interest to local residents, are asked to assist the Council in this effort.

If you would like assistance in developing a community involvement or traditional and local knowledge component for your proposal, or would like a list of community contacts throughout the spill region, please contact the Anchorage Restoration Office. Protocols for including traditional knowledge in the restoration process were adopted by the Trustee Council in December 1996. These protocols are appended to this invitation as Appendix B.

PROJECT DESIGN

A. Objectives

What are the project's research/restoration objectives, both for FY 03 and throughout the life of the project?

If your project has multiple objectives, please format them like the example below. Use this same format any time you include a list in your DPD.

1. Determine the foraging range of common murres.
2. Measure abundance and distribution of intertidal invertebrates that prey on herring eggs.
3. Determine the age and sex distribution of harlequin ducks.

B. Methods

For research and monitoring projects, what specific hypotheses will be tested and what data do you need to test these hypotheses? For hypotheses that will be tested in FY 03, what methods will be used to generate the data? Please begin this section with a brief (3 lines or less) summary of the methodology to be used. Then provide a more detailed description of scientific methods, field sites, data sets to be generated, and statistical procedures to be used to test hypotheses. To the extent that the variation to be expected in the response variable(s) is known or can be approximated, proposals should demonstrate that the sample sizes and sampling times (for dynamic processes) are of sufficient power or robustness to adequately test the hypotheses.

For monitoring projects, what is the statistical power of the proposed sampling program for detecting a significant change in numbers?

For general restoration projects, what specific actions will be taken to restore the injured resource/service? For actions that will be undertaken in FY 03, include a description of scientific methods, field sites, data sets to be generated, the statistical procedures that will be used to test performance, and the time over which results will be measured.

For projects that will supplement wild fishery stocks, what are the benefits and risks of the proposed supplementation effort? The criteria and guidelines used by the Trustee Council when evaluating supplementation proposals are available from the Anchorage Restoration Office.

For projects that will involve the lethal collection of birds or mammals, contact the Anchorage Restoration Office for a copy of the Trustee Council's policy on collections. Your project's compliance with the collections policy should be addressed in a memo submitted with your DPD.

For all projects, if applicable, discuss alternative methodologies considered, and explain why the proposed methods were chosen.

C. Cooperating Agencies, Contracts, and Other Agency Assistance

If more than one Trustee agency is requesting funds for a project, describe each agency's duties and responsibilities under the project. Also explain why more than one agency is involved.

Which components of the project will be contracted to the private sector? Describe each contract, including which tasks will be contracted and why.

Which components of the project will be contracted to other governmental agencies, including state universities? Describe each contract, including which tasks will be contracted and why.

SCHEDULE

A. Measurable Project Tasks for FY 03 (October 1, 2002 - September 30, 2003)

When in FY 03 will major project tasks (for example, sample collection, data analysis, manuscript submittal, etc.) be completed? Include a schedule of work for FY 03 that specifies the dates for major tasks. This information will be the basis for the quarterly project progress reports which are submitted to the Anchorage Restoration Office.

Please format your schedule (here, and in part B below) like the following example.

November 18:	Present project results: American Society of Limnology and Oceanography
December 31:	Complete analysis of data from FY 02 field season
January (2 days):	Attend Annual EVOS Workshop
February 1 - March 15:	Arrange logistics (boats, equipment, contracts, etc.)
April 1 - 10:	Consult with subsistence harvesters
April 15:	Submit annual report (FY 01 findings)
May 14 - 20:	Conduct initial surveys
June 5 - 16:	Consult with experts and conduct second survey
September 15:	Submit manuscript to peer reviewed journal

B. Project Milestones and Endpoints

When will each project objective be addressed and met? (Objectives listed here should be the objectives already listed under PROJECT DESIGN, Part A.) Include a schedule, covering the entire life of the project. This information will be used by project reviewers to assess whether projects are meeting their objectives and are suitable for continued funding.

C. Completion Date

When will the work be completed? That is, during which fiscal year will all of the project's objectives (including preparation of the final report) have been met?

PUBLICATIONS AND REPORTS

↓ 1

What manuscripts do you plan to submit for publication in FY 03, if any? Provide the subject/title of each manuscript, the name of the peer-reviewed journal(s) to which you plan to submit it, and when the manuscript will be submitted.

The Trustee Council strongly encourages publication of project results in peer-reviewed journals as soon as scientifically appropriate and logistically possible. Toward this end, in FY 03 the Council will consider supporting page costs of publications anticipated to appear in print during FY 03. For closeout projects, the Council will consider funding a portion of a principal investigator's time specifically for preparation of a manuscript for publication. (See page 39 of the budget instructions for more information.) Please note that the Council has adopted a policy regarding an acknowledgment and disclaimer to be used in publishing results of restoration projects. Contact the Anchorage Restoration Office for more information.

In addition to publications, the Trustee Council requires that an annual report be prepared for each continuing project, and that a final report be prepared for each project upon completion. These reports are due on April 15 of the year following the year in which the research project or restoration activity takes place (reports on projects funded for FY 03 will be due April 15, 2004.) With approval of the Chief Scientist and the Executive Director, on a project-by-project basis, the publications discussed above may satisfy a portion of the report requirements. (For a copy of the Council's *Procedures for the Preparation and Distribution of Reports, October 1998*, contact the Anchorage Restoration Office.) Please note that beginning with final reports completed in FY 01, we are also requesting that an electronic version of the report, preferably in PDF format, be submitted along with the required hard copies. The final reports will then be posted in their entirety on the Trustee Council's web page.

↓ 2

PROFESSIONAL CONFERENCES

↓ 1

The Trustee Council encourages presentation of project results at professional conferences, and may provide limited travel support for particularly important opportunities. If you are requesting travel funds for conference attendance in FY 03 (see page 39 of the budget instructions for more information), provide in this section the name and sponsor of the conference, when and where the conference will be held, and your anticipated role in the conference. If you plan to present a paper at the conference, what will be the topic?

↓ 2

NORMAL AGENCY MANAGEMENT (NOTE: Proposers who are not employees of government agencies should skip this section. However, the issue of normal agency management will be evaluated for all proposals during the proposal review process.)

↓ 1

Why should the Trustee Council, rather than the agency proposing the project, be the source of funds for this project? It is the policy of the Council to fund government agencies only for restoration projects that they would not have conducted had the spill not occurred. In

addressing the above question, briefly discuss the following: Is the project something the agency is required to do by statute or regulation regardless of whether the oil spill had occurred? What, if any, similar projects have been conducted by the agency in the past without funds from the Council?

↓ 2

COORDINATION AND INTEGRATION OF RESTORATION EFFORT

↓ 1

How will the project be coordinated and integrated with other restoration efforts? Describe with whom coordination has taken or will take place (other Trustee Council funded projects, ongoing agency operations, etc.) and what form the coordination will take (shared field sites, research platforms, sample collection, data management, equipment purchases, etc.). Also describe efforts to obtain funds from non-Council sources, and related or complementary work being undertaken by other entities.

↓ 2

EXPLANATION OF CHANGES IN CONTINUING PROJECTS (NOTE: Proposers of projects that were not funded in FY 02 should skip this section)

↓ 1

How does the proposal described in this DPD differ from the DPD approved by the Trustee Council for FY 02? Briefly summarize major changes in objectives or methods, and any changes in the project's milestones, endpoints, or completion date. Explain why these changes were made (for example, in response to peer reviewer comments, based on prior year results, etc.).

↓ 2

PROPOSED PRINCIPAL INVESTIGATOR, IF KNOWN

Name
Affiliation
Mailing address
Phone number
Fax number
E-mail address

Please start a new page here.

Please make sure this is the beginning of a new page.

PRINCIPAL INVESTIGATOR

↓ 1

What are the qualifications of the proposed principal investigator? For projects with more than one PI, identify which PI will be responsible for which project objectives and tasks.

↓ 2

OTHER KEY PERSONNEL

↓ 1

Provide a list of key personnel who will be working on the project in FY 03 and describe what their responsibilities will be.

↓ 2

LITERATURE CITED

↓ 1

If appropriate, include literature citations here.

This section contains instructions for preparing Detailed Budgets.

Part I. Instructions for All Proposers

The Detailed Budget should outline probable expenditures to implement the objectives described in your Detailed Project Description (DPD). The Detailed Budget should show how much funding is needed to implement the project in FY 03. If funding to complete the project is needed in FY 04 or beyond, this should also be indicated.

In order to ensure wise and proper use of *Exxon Valdez* oil spill trust funds, each proposal's budget will be reviewed by Trustee Council staff for consistency with the objectives contained in the DPD and for adherence to the budget instructions that follow. In regard to continuing projects, particular scrutiny will be given to funding requests that exceed what was approved for FY 02 or what was projected in FY 02 for FY 03. Each budget form contains a comment or description field. Using this field to explain the proposed budget and justify any increases will enable staff to understand how the budget was developed and why. Proposers may be asked to respond to budget review questions, or to revise their budgets to address budgetary concerns.

- **Fiscal Year...**
  The Trustee Council operates on the federal fiscal year (FY). The FY 03 budget is for the period October 1, 2002 through September 30, 2003.

- **Project Number...**
  For continuing projects, use the last three digits of the FY 02 project number preceded by "03" (for example, project 02163 would become 03163). For new projects, leave the number blank.

- **Rules for Numbers...**
  1. Unless otherwise noted, show all costs in thousands of dollars. For example, show $86,423 as $86.4.

  2. When the number "5" follows the digit to be rounded, round to the higher amount. For example, round $26,752 to $26.8.

  3. Report number of positions as full-time equivalent positions (FTE), by converting the number of months to a decimal. For example, show six months (half of a year) as .5 FTE.

- **Indirect Costs...**
  Indirect costs are those costs that are incurred for common or joint purposes

and therefore cannot be identified readily and specifically with a particular project. Trustee agencies should cover these costs through the general administration formula (see page 40). Non-Trustee organizations should cover these costs through their indirect rate.

Examples of indirect costs are maintenance and operation of space (i.e., lease costs), office supplies, copying, phones, faxes, internet access, equipment maintenance and repair, vehicle leasing, software, and training. Additional examples are the costs of payroll and personnel functions, data processing, clerical support, various levels of administrative supervision, administrative contract monitoring, accounting, budgeting, auditing, and mail and messenger services. These items should be budgeted for separately only if they are incurred because of a specific project and documentation of the expense is maintained. The documentation must demonstrate to a financial auditor that the expense was directly attributable to the project, and was necessary and reasonable.

- **Direct Project Costs...**

Direct costs are those costs that are identified with or linked to a specific project. Examples of direct costs are compensation of employees for the time spent executing the project, acquisition of materials or equipment for purposes outlined in the DPD, project-specific travel, and contractual services specified in the DPD. For most projects, the following direct costs should be included:

1. **NEPA (National Environmental Policy Act) Compliance.** All projects funded by the Trustee Council must comply with NEPA. Due to their research nature, many projects receive a categorical exclusion (CE) from NEPA. However, for a few projects, an environmental assessment (EA) may be required. If a project will likely require an EA, include the costs for preparing it in the project budget. Identify on the appropriate budget forms how much funding has been included for this purpose.

2. **Workshop Attendance.** All principal investigators are required to attend the Annual EVOS Workshop. The 2003 workshop will be held in Anchorage, for two days in January (actual dates to be announced later). Unless you reside in Anchorage, include funds in your budget for travel and two days per diem for the PI (and co-PI, if appropriate) to attend this workshop. Identify on the appropriate budget forms how much funding has been included for this purpose.

3. **Report Writing.** Principal investigators are required to prepare a report on their project by April 15 of each year. Reports are due on April 15 of the year following the year in which the research project or restoration activity takes place; reports on projects funded for FY 03 will be due April 15, 2004. If you represent a state or federal agency, the costs of preparing a report on your FY 03 activity should be included in an FY 04 budget. If you represent another type of organization, the costs of performing the project and preparing a report both should be included in

your FY 03 budget. Describe on the appropriate budget forms how much funding has been included for report writing. (For further information, see *Procedures for the Preparation and Distribution of Reports, October 1998* available from the Anchorage Restoration Office.)

4. **Manuscript Preparation and Publication.** The Trustee Council may contribute a maximum of $1,000 in page costs per project and 1.5 months of personnel time per manuscript toward publication of study results in the peer reviewed literature. Funds budgeted for this purpose in FY 03 must be for manuscripts that will be published (i.e., appear in print) in FY 03. Identify on the appropriate budget forms how much funding has been included for manuscript preparation and publication. Include in your DPD the subject/title of each manuscript, the name of the peer reviewed journal(s) to which you plan to submit it, and when the manuscript will be submitted.

5. **Professional Conferences.** If a PI will be presenting results of his or her restoration project at a professional conference, or if attendance at a conference is integral to the project, the Trustee Council may fund attendance at one professional conference in FY 03 for each PI (and co-PI, if appropriate). Identify on the appropriate budget forms how much funding has been included for this purpose. Include in your DPD the name and sponsor of the conference, when and where the conference will be held, and your anticipated role in the conference.

6. **Community Involvement and Traditional Knowledge.** Identify on the appropriate budget forms any funds included to involve local communities in your project, or to collect traditional or local knowledge.

- **Future Year Budget Estimates...**
  Most projects funded for FY 03 are expected to be closeouts of ongoing projects or one-year projects (i.e., FY 03 funding only). However, a few projects may require closeout funds in FY 04 or may warrant continued field activity in FY 04. If your project would require Trustee Council support in FY 04 or beyond, please estimate this amount in the "long range funding requirements" box on page one of the budget form. Trustee agencies should include general administration costs in future year estimates.

- **Electronic Budget Forms Available...**
  An electronic copy of the budget forms (created in Excel 4.0) is available from the Anchorage Restoration Office (on an IBM disk or by e-mail) or on our web page: www.oilspill.state.ak.us

Part II. Additional Instructions for Trustee Agencies

This section provides additional instructions for Trustee Agencies (listed below). Non-Trustee organizations should skip this section and continue on to page 46.

- **Agency Abbreviations...**
  Use the following agency abbreviations:

Alaska Department of Environmental Conservation	ADEC
Alaska Department of Fish and Game	ADFG
Alaska Department of Natural Resources	ADNR
Department of Agriculture, U.S. Forest Service	USFS
Department of Interior, Fish and Wildlife Service	DOI-FWS
Department of Interior, U.S. Geological Survey	DOI-USGS
Department of Interior, National Park Service	DOI-NPS
National Oceanic and Atmospheric Administration	NOAA

- **General Administration...**
  The general administration (GA) formula, established in the Trustee Council's financial operating procedures, reimburses government agencies for indirect costs (see page 38) incurred in implementing the restoration program. The formula consists of 15% of each project's personnel costs, plus 7% of the first $250,000 of each project's contractual costs, plus 2% of contractual costs in excess of $250,000. The Excel budget forms automatically calculate GA for FY 03.

- **Project Management...**
  Do not include project management costs in the individual project budgets. The Trustee Council will discuss this spring if and how project management responsibilities will be funded in FY 03 and beyond. No requests for project management should be submitted at this time.

- **Equipment...**
  Equipment previously purchased by the Trustee Council should be used to the maximum extent possible. Before requesting funds for new equipment, contact your agency liaison to determine if suitable equipment is already available.

- **Budget Forms...**
  Instructions for completing the budget forms follow:
  Multi-Trustee Agency Summary (Form 2A) summarizes the total funds requested for a project when multiple Trustee agencies are cooperating on a project.
  Trustee Agency Summary (Form 3A) summarizes each agency's proposed expenditures from the Detail forms.
  Trustee Agency Detail (Form 3B) provides detailed expenditure information on personnel, travel, contractual, commodities, and equipment for each agency.

Multi-Trustee Agency Summary (Form 2A)

How the Form will be Used...
This form is used when multiple Trustee agencies are cooperating on a project. If only one Trustee agency is involved, this form is not required.

How to Complete the Form...

1. *Authorized FY 02* - No input required. All the information is linked to individual agency forms.
2. *Proposed FY 03* - No input required. All the information is linked to individual agency forms.
3. *Other Funds* - No input required. All the information is linked to individual agency forms.
4. *Proposed FY 03 Trustee Agency Totals* - Total requested by each cooperating agency. Agencies must link the 3A forms.
5. *Long Range Funding Requirements* - No input required. All the information is linked to individual agency forms.
6. *Comments* - Use this space to explain the proposed budget. For continuing projects, explain any increases over projections made in FY 02.
7. *Project Identification Field* - Enter the project number (if known), title, and lead agency.
8. *Prepared* - Enter the date this budget was prepared.

Budget Category:	Authorized FY 02	Proposed FY 03	PROPOSED FY 03 TRUSTEE AGENCY TOTALS -4- ADEC	ADFG	ADNR	USFS	DOI	NOAA
Personnel								
Travel								
Contractual								
Commodities								
Equipment	-1-	-2-	LONG RANGE FUNDING REQUIREMENTS -5-					
Subtotal			Estimated					
General Administration			FY 04					
Project Total								
Full-time Equivalents (FTE)								
Other Funds -3-								

Comments:

-6-

FY 03	Project Number: Project Title: -7- Lead Agency:	FORM 2A MULTI-TRUSTEE AGENCY SUMMARY

Prepared: -8-

Trustee Agency Summary (Form 3A)

How the Form will be Used...

This form summarizes the proposed expenditures contained on the Trustee Agency Detail forms.

How to Complete the Form...

1. *Authorized FY 02* - If the project was funded in FY 02, enter the total authorized by line-item. Otherwise, leave blank.
2. *Proposed FY 03* - No input required. All the information is linked to the Detail forms.
3. *Other Funds* - Enter the amount of funds from other sources that the project leverages and any agency contribution.
4. *Long Range Funding Requirements* - Estimate FY 04 costs, if applicable.
5. *Comments* - At a minimum:
   - Identify what portion of the project cost, if any, is for NEPA compliance, Annual EVOS Workshop attendance, report writing, publications, professional conferences, and community involvement;
   - If other funds are anticipated, explain the source of the funding, any matching requirement, and any conditions tied to those funds;
   - For continuing projects, explain increases over projections made in FY 02.
6. *Project Identification Field* - Enter the project number, title, and your agency.
7. *Prepared* - Enter the date this budget was prepared.

Budget Category:	Authorized FY 02	Proposed FY 03
Personnel		
Travel		
Contractual		
Commodities		
Equipment	- 1 -	- 2 -
Subtotal		
General Administration		
Project Total		
Full-time Equivalents (FTE)		
Other Funds - 3 -		

LONG RANGE FUNDING REQUIREMENTS -4-

Estimated FY 04					

Dollar amounts are shown in thousands of dollars.

Comments:

-5-

FY 03	Project Number: Project Title: - 6 - Agency:	FORM 3A TRUSTEE AGENCY SUMMARY

Prepared: - 7 -

Trustee Agency Detail (Form 3B)
Personnel & Travel

How the Form will be Used...

This form documents the personnel and travel costs of the proposed project. "Personnel" means compensation of employees, including benefits, for the time and effort devoted to the execution of the project. "Travel" means the cost of transportation by public conveyance and per diem.

How to Complete the Form...

1. *Name* - Enter the first initial and last name of each person budgeted. If the name is unknown, enter vacant.
2. *Position Description* - Enter the position title.
3. *GS/Range/Step* - Enter the appropriate general schedule (GS) and step, or range and step.
4. *Months Budgeted* - Enter the number of months for each position.
5. *Monthly Costs* - Enter the monthly sum of salary and benefits for each position.
6. *Overtime* - Enter the estimated overtime cost for each position.
7. *Proposed FY 03 Personnel Costs* - No input necessary. The form automatically calculates: (Months Budgeted x Monthly Costs) + Overtime
8. *Travel Description* - Include name of traveler, destination, and trip purpose.
9. *Ticket Price* - Enter the round trip ticket price.
10. *Round Trips* - Enter the number of round trips. Use whole numbers.
11. *Total Days* - Enter the total number of days in travel status. Use whole numbers.
12. *Daily Per Diem* - Enter the daily per diem rate.
13. *Proposed FY 03 Travel Costs* - No input necessary. The form automatically calculates: (Ticket Price x Round Trips) + (Total Days x Daily Per Diem)
14. *Project Identification Field* - Enter the project number, title, and your agency.
15. *Prepared* - Enter the date this budget was prepared.

Personnel Costs:		GS/ Range/ Step	Months Budgeted	Monthly Costs	Overtime	Proposed FY 03
Name	Position Description					
- 1 -	- 2 -	- 3 -	- 4 -	- 5 -	- 6 -	- 7 -
	Subtotal					
					Personnel Total	

Travel Costs:	Ticket Price	Round Trips	Total Days	Daily Per Diem	Proposed FY 03
Description					
- 8 -	- 9 -	- 10 -	- 11 -	- 12 -	- 13 -
				Travel Total	

FY 03	Project Number: Project Title: - 14 - Agency:	FORM 3B Personnel & Travel DETAIL

Prepared: - 15 -

Trustee Agency Detail (Form 3B)
Contractual & Commodities

How the Form will be Used...

This form documents the contractual and commodities costs of the proposed project. "Contractual" covers such items as vessel charters, equipment rental or lease, professional services, communications, and printing. "Commodities" are consumable supplies with an estimated life of less than one year and a unit value of less than $500.

How to Complete the Form...

1. *Contractual Description* - Describe what is being purchased and its purpose. If a significant portion of the project will be performed under contract, and the likely contractor is known, the Non-Trustee Organization forms are also required (see pages 46-50).
2. *Proposed FY 03* - Enter the proposed FY 03 contractual cost.
3. *Commodities Description* - Describe what is being purchased and its purpose.
4. *Proposed FY 03* - Enter the proposed FY 03 commodities cost.
5. *Project Identification Field* - Enter the project number, title, and your agency.
6. *Prepared* - Enter the date this budget was prepared.

Contractual Costs:	Proposed FY 03
Description	
- 1 -	- 2 -
When a non-trustee organization is used, the form 4A is required.	**Contractual Total**

Commodities Costs:	Proposed FY 03
Description	
- 3 -	- 4 -
	Commodities Total

FY 03	Project Number: Project Title: Lead Agency:	FORM 3B Contractual & Commodities DETAIL

Prepared: - 6 -

Trustee Agency Detail (Form 3B)
Equipment

How the Form will be Used...

This form documents the equipment costs of the proposed project. "Equipment" means non-consumable items having an estimated life of more than one year and a unit value greater than $500. Equipment previously purchased by the Trustee Council should be used to the maximum extent possible.

How to Complete the Form...

1. *Replacement Equipment* - Put an R in this column if the request replaces equipment previously purchased by the Trustee Council.
2. *New Equipment Description* - Describe the equipment and how the cost estimate was obtained.
3. *Number of Units* - Enter the number of units to be purchased. Use whole numbers.
4. *Unit Price* - Enter the unit price.
5. *Proposed FY 03 New Equipment* - No input necessary. The form automatically calculates: Number of Units x Unit Price
6. *Existing Equipment Description* - Describe existing equipment which will be used.
7. *Number of Units* - Enter the number of existing units which will be used. Use whole numbers.
8. *Inventory Agency* - Enter the agency which currently has the equipment on inventory.
9. *Project Identification Field* - Enter the project number, title, and your agency.
10. *Prepared* - Enter the date this budget was prepared.

New Equipment Purchases: Description		Number of Units	Unit Price	Proposed FY 03
-1-	-2-	-3-	-4-	-5-
Indicate replacement equipment purchases with an R.		**New Equipment Total**		

Existing Equipment Usage: Description	Number of Units	Inventory Agency
-6-	-7-	-8-

FY 03	Project Number: Project Title: -9- Agency:	FORM 3B Equipment DETAIL

Prepared: -10-

Part III. Additional Instructions for Non-Trustee Organizations

A non-Trustee organization is any organization (state, federal, private, or non-profit) other than the Alaska Department of Environmental Conservation, the Alaska Department of Fish and Game, the Alaska Department of Natural Resources, the National Oceanic and Atmospheric Administration, the US Forest Service, and the US Department of Interior. The University of Alaska is considered a non-Trustee organization.

- **Lead Trustee Agency...**
  The Trustee Council does not have the authority to administer project funds directly. Rather, all project funds are administered by one of the six Trustee agencies listed above. Proposers will be notified of which agency will administer their project (who will be the Lead Trustee Agency) after all proposals have been reviewed. Do not include any Lead Trustee Agency costs in your budget.

- **Indirect Cost Rate...**
  Proposers' indirect cost rates will be reviewed on a project-by-project basis. However, proposers affiliated with the University of Alaska must use the indirect rate agreed to by the University for *Exxon Valdez* oil spill restoration projects. The agreement provides for an indirect cost rate of 25 percent of total direct costs (TDC). TDC includes all direct costs except (1) equipment for which ownership resides with the University and (2) subcontract costs in excess of $25,000. Regarding subcontracts, the indirect rate is 25 percent of the first $25,000 of each subcontract, plus 5 percent of each subcontract's costs in excess of $25,000 and less than $250,000, plus 2 percent of each subcontract's costs in excess of $250,000. Each University proposer is responsible for accurately calculating this indirect rate for his or her project.

- **Equipment...**
  All equipment purchased remains the property of the Lead Trustee Agency and must be returned to the agency upon completion of the project.

- **Budget Forms...**
  Instructions for completing the individual budget forms follow:
  Non-Trustee Organization Summary (Form 4A) summarizes the proposed expenditures from the Detail forms.
  Non-Trustee Organization Detail (Form 4B) provides detailed expenditure information on personnel, travel, contractual, commodities, and equipment.

Non-Trustee Organization Summary (Form 4A)

How the Form will be Used...

This form summarizes the proposed expenditures contained on the Non-Trustee Organization Detail forms.

How to Complete the Form...

1. *Authorized FY 02* - If the project was funded in FY 02, enter the total authorized by line-item. Otherwise, leave blank.
2. *Proposed FY 03* - No input required. All information is linked to the Detail forms.
3. *Indirect* - Enter the proposed indirect project costs. Specify and explain the rate in the comments field.
4. *Other Funds* - Enter any funds from other sources that the project leverages.
5. *Long Range Funding Requirements* - Estimate your project's cost in FY 04, if any.
6. *Comments* - At a minimum:
   - Specify and explain your indirect rate;
   - Identify what portion of the project cost, if any, is for NEPA compliance, Annual EVOS Workshop attendance, report writing, publications, professional conferences, and community involvement;
   - If other funds are anticipated, explain the source of the funding, any matching requirement, and any conditions tied to those funds;
   - For continuing projects, explain any increases over projections made in FY 02.
7. *Project Identification Field* - Enter the project number, title, and your organization.
8. *Prepared* - Enter the date this budget was prepared.

Budget Category:	Authorized FY 02	Proposed FY 03
Personnel		
Travel		
Contractual		
Commodities	-1-	- 2 -
Equipment		
Subtotal		
Indirect		- 3 -
Project Total		
Full-time Equivalents (FTE)		
Other Funds - 4 -		

LONG RANGE FUNDING REQUIREMENTS - 5 -

Estimated FY 04					

Dollar amounts are shown in thousands of dollars.

Comments:

- 6 -

FY 03

Project Number:
Project Title: - 7 -
Name:

FORM 4A
NON-TRUSTEE SUMMARY

Prepared: - 8 -

Non-Trustee Organization Detail (Form 4B)
Personnel & Travel

How the Form will be Used...

This form documents the personnel and travel costs of the proposed project. "Personnel" means the compensation of employees, including benefits, for the time and effort devoted to the execution of the project and includes tuition for students. "Travel" means the cost of transportation by public conveyance and per diem.

How to Complete the Form...

1. *Name* - Enter the first initial and last name of each person budgeted. If the name is unknown, enter vacant.
2. *Position Description* - Enter the position title.
3. *Months Budgeted* - Enter the number of months for each position.
4. *Monthly Costs* - Enter the monthly sum of salary and benefits for each position.
5. *Overtime* - Enter the estimated overtime cost for each position.
6. *Proposed FY 03 Personnel Costs* - No input necessary. The form automatically calculates: (Months Budgeted x Monthly Costs) + Overtime
7. *Travel Description* - Include name of traveler, destination, and trip purpose.
8. *Ticket Price* - Enter the round trip ticket price.
9. *Round Trips* - Enter the number of round trips. Use whole numbers.
10. *Total Days* - Enter the total number of days in travel status. Use whole numbers.
11. *Daily Per Diem* - Enter the daily per diem rate.
12. *Proposed FY 03 Travel Costs* - No input necessary. The form automatically calculates: (Ticket Price x Round Trips) + (Total Days x Daily Per Diem)
13. *Project Identification Field* - Enter project number, title, and your organization.
14. *Prepared* - Enter the date this budget was prepared.

Personnel Costs:			Months	Monthly		Proposed
	Name	Position Description	Budgeted	Costs	Overtime	FY 03
	- 1 -	- 2 -	- 3 -	- 4 -	- 5 -	- 6 -
		Subtotal	0.0	0.0	0.0	
					Personnel Total	

Travel Costs:		Ticket	Round	Total	Daily	Proposed
	Description	Price	Trips	Days	Per Diem	FY 03
	- 7 -	- 8 -	- 9 -	- 10 -	- 11 -	- 12 -
					Travel Total	

FY 03	Project Number: Project Title: - 13 - Name:	FORM 4B Personnel & Travel DETAIL

Prepared: -14 -

Non-Trustee Organization Detail (Form 4B)
Contractual & Commodities

How the Form will be Used...

This form documents the contractual and commodities costs of the proposed project. "Contractual" covers such items as vessel charters, equipment rental or lease, professional services, communications, and printing. "Commodities" are consumable supplies with an estimated life of less than one year and a unit value of less than $500.

How to Complete the Form...

1. *Contractual Description* - Describe what is being purchased and its purpose.
2. *Proposed FY 03* - Enter the proposed FY 03 contractual cost.
3. *Commodities Description* - Describe what is being purchased and its purpose.
4. *Proposed FY 03* - Enter the proposed FY 03 commodities cost.
5. *Project Identification Field* - Enter the project number, title, and your organization's name.
6. *Prepared* - Enter the date this budget was prepared.

Contractual Costs:	Proposed FY 03
Description	
- 1 -	- 2 -
Contractual Total	

Commodities Costs:	Proposed FY 03
Description	
- 3 -	- 4 -
Commodities Total	

FY 03	Project Number: Project Title: - 5 - Name:	FORM 4B Contractual & Commodities DETAIL
Prepared: - 6 -		

Non-Trustee Organization Detail (Form 4B)
Equipment

How the Form will be Used...

This form documents the equipment costs of the proposed project. "Equipment" means non-consumable items having an estimated life of more than one year and a unit value greater than $500. All equipment purchased remains the property of the Lead Trustee Agency and must be returned to the agency upon completion of the project.

How to Complete the Form...

1. *Replacement Equipment* - Put an R in this column if the request replaces equipment previously purchased by the Trustee Council.
2. *New Equipment Description* - Describe the equipment and how the cost estimate was obtained.
3. *Number of Units* - Enter the number of units to be purchased. Use whole numbers.
4. *Unit Price* - Enter the unit price.
5. *Proposed FY 03 New Equipment* - No input necessary. The form automatically calculates: Number of Units x Unit Price
6. *Existing Equipment Description* - Describe existing equipment which will be used.
7. *Number of Units* - Enter the number of existing units which will be used. Use whole numbers.
8. *Project Identification Field* - Enter project number, title, and your organization.
9. *Prepared* - Enter the date this budget was prepared

New Equipment Purchases: Description		Number of Units	Unit Price	Proposed FY 03
-1-	-2-	-3-	-4-	-5-
Indicate replacement equipment purchases with an R.			**New Equipment Total**	

Existing Equipment Usage: Description	Number of Units	
-6-	-7-	

FY 03	Project Number: Project Title: -8- Name:	FORM 4B Equipment DETAIL
Prepared: -9-		

APPENDIX A
OTHER TRUSTEE COUNCIL ACTIVITIES

In addition to funding monitoring, research, and general restoration projects through the annual work plan, the Trustee Council authorizes funds for habitat protection and acquisition and public information/science management/administration.

Habitat Protection and Acquisition

The Trustee Council funds the acquisition of land, or interests in land, in order to protect the habitat of injured resources. The goals of habitat protection are to prevent additional injury to resources and services while recovery is taking place and to provide a long-term safety net for these resources. For example, restoration efforts in the Pacific Northwest have taught us that habitat protection is essential to the health of salmon species. Researchers have concluded that depleted salmon populations cannot rebuild if habitat that is critical during any of their life stages is seriously compromised. This lesson extends as well to the other fish, birds, and mammals injured by the oil spill that nest, feed, molt, winter, and seek shelter in the habitat protected through the Council's habitat protection and acquisition program.

As of December 2001, the Trustee Council has committed $343.3 million to protect 635,770 acres of land in large parcels (generally over 1,000 acres each), as follows. Interests in the lands protected by the Council range from acquisition of fee simple title to various forms of conservation easements.

- 23,800 acres within Kachemak Bay State Park, including a highly productive estuary and several miles of anadromous fish streams and intertidal shoreline, from private inholders;
- 32,537 acres within the Kenai Fjords National Park and on adjacent islands within the Alaska Maritime National Wildlife Refuge, including valuable coastal habitat, from English Bay Corporation;
- 26,665 acres of prime habitat on Shuyak Island, at the northern tip of the Kodiak archipelago, from the Kodiak Island Borough;
- 41,549 acres of mature spruce forest and highly productive coastal habitat in the Kodiak archipelago, in what has now become Afognak Island State Park, from the Seal Bay Timber Company;
- 41,750 acres of land and conservation easements on northern Afognak Island, including buffers around Paul's and Laura lakes and some of the most highly ranked habitat in terms of restoration value in the spill region, from Afognak Joint Venture;
- 59,674 acres of prime habitat for salmon, bald eagles, bears, and other species in the Kodiak National Wildlife Refuge from Koniag, Inc.;
- 55,402 acres of conservation easements along the Karluk and Sturgeon rivers, from Koniag, Inc.; the Trustee Council's January 2001 offer to extend the existing nondevelopment easement for another ten years has been accepted by the Koniag Board of Directors and final closing documents are being prepared;
- 115,973 acres within Kodiak National Wildlife Refuge from Akhiok-Kaguyak, Inc.;

- 31,609 acres of land and conservation easements within the Kodiak National Wildlife Refuge from Old Harbor Native Corporation;
- 59,520 acres of land and conservation easements in Prince William Sound, including parcels at Eshamy Bay and Jackpot Bay, which have some of the highest restoration values in the spill area, from Chenega Corporation;
- 77,477 acres of land, conservation easements, and timber easements, including Port Gravina, Sheep Bay, and Windy Bay, which are considered among the most valuable parcels in Prince William Sound for recovery of species injured by the spill, from Eyak Corporation; and
- 69,814 acres of land and conservation easements, including Bligh Island and Two Moon Bay, which were the third and fourth highest ranked parcels in terms of restoration value in Prince William Sound, from Tatitlek Corporation.

In total, over 1,400 miles of coastline and more than 300 anadromous rivers, streams, and spawning areas have been protected through the Trustee Council's large parcel program. Once the Karluk and Sturgeon rivers package with Koniag, Inc. is completed, the Council's large parcel program will be essentially complete.

In regard to the small parcel program, the Trustee Council has spent $20.5 million to acquire 7,865 acres of habitat in small parcels (generally under 1,000 acres each), and authorized $1.5 million to purchase an additional 1,100 acres in small parcels. These lands are typically located on coves, along important stretches of river, at river mouths, or adjacent to valuable tidelands, and are often close to spill area communities. These lands are acquired for their habitat qualities as well as their importance for subsistence and recreational use.

In January 2001 the Trustee Council approved $1 million for the US Department of Interior to enter into a grant with The Nature Conservancy and The Conservation Fund to continue the Council's habitat protection effort through FY 02. The advantages these two non-profit organizations bring to the program are an ability to respond more quickly than government to opportunities for acquisition of priority lands, to leverage resources by attracting matching funds, and to broaden the protection impact of dollars spent by achieving below-appraised-value purchases through the use of tax incentives and estate planning strategies. The grant was finalized in October 2001 and the grantees recently briefed the Council on a number of specific parcels that they are seeking to purchase.

Beginning in October 2002, the Trustee Council has designated $25 million of Restoration Reserve funds for a long-term habitat protection program. The $25 million would serve as an endowment, with annual earnings (probably more than $1 million annually) dedicated to habitat protection.

For more information on the Trustee Council's habitat protection program, contact the Anchorage Restoration Office.

Public Information/Science Management/Administration

This project (\100) provides the public outreach, science management, and administration necessary to efficiently implement the Trustee Council's restoration program. Project \100 includes funding for:

- Operations and staff support for the Trustee Council, including the Anchorage Restoration Office;
- Operations and staff support for the 17-member Public Advisory Group, which was established in the civil settlement between Exxon Corporation and the state and federal governments;
- Independent scientific review of project proposals and reports, including the Chief Scientist and peer reviewers;
- Publications, including this invitation; annual work plans; the *Restoration Update*, the Council's newsletter; and the *Annual Status Report*, which reports to the public on the progress of restoration;
- Workshops, including the Annual EVOS Workshop (which is attended by all Trustee Council researchers and the public) and more intensive technical workshops;
- Public meetings, including meetings in communities in the spill area and elsewhere, on the restoration program;
- Additional communication efforts, such as the Trustee Council's restoration notebook series, which tells the story of injury and recovery from the spill for a number of injured resources; and a web page, which includes the status of injured resources and services, descriptions of past and ongoing restoration and habitat protection efforts, and information on GEM; and
- An annual financial audit of expenditures from the trust fund.

For the most part, this work effort is conducted by Trustee Council staff. However, the Council contracts with the private sector for some of these services and products. For example, the services of the Chief Scientist and the financial auditor are obtained through competitive contracts. Printing of publications, graphics work, and space for the Annual EVOS Workshop are put out to bid when needed. Contracts are advertised and awarded in accordance with State of Alaska procurement laws.

It is anticipated that many of the activities described above will continue at some level throughout the life of the restoration effort, including under GEM. In FY 02, the Council authorized $1,500,000 for public information/science management/administration. The FY 03 cost estimate for these activities is $1.0-1.5 million.

APPENDIX B
PROTOCOLS FOR INCLUDING INDIGENOUS KNOWLEDGE IN THE *EXXON VALDEZ* OIL SPILL RESTORATION PROCESS

Exxon Valdez Oil Spill Trustee Council
Adopted December 6, 1996

Introduction, Purpose, and Objectives

Indigenous knowledge, including traditional ecological knowledge (TEK), provides an important perspective that can help the *Exxon Valdez* Oil Spill (EVOS) restoration effort by providing information and analysis of the environment and resources affected by the oil spill. Fishers, hunters, and gatherers have detailed descriptions of animal behavior and ecology. For many species, subsistence harvesters possess the following information:

- where it is found in any season
- what it eats
- how it moves from place to place
- when it mates
- where its young are born
- what preys on it
- how it protects itself
- how best to hunt for it
- population cycles

As astute observers of the natural world and as repositories of knowledge on the long term changes in their biophysical environment, practitioners of TEK can provide western biologists and ecologists with systematic and analytical observations that cover many years. While the differences between indigenous and scientific ways of knowing must be understood, restoration projects which successfully incorporate both perspectives will improve our collective understanding of the natural processes involved in the EVOS-affected region.

Working in and with Alaska Native communities requires sensitivity to their cultures, customs, traditions, and history. Successful working relationships are built on mutual respect and trust. The people of the communities of the oil spill area have experienced severe dislocations in their lives due to the *Exxon Valdez* Oil Spill. Subsistence and commercial fishing activities have been interrupted. Researchers and agency personnel have used the communities as logistical bases. Disruptions related to the clean up, litigation, and increased bureaucratic demands have impacted the people's ability to conduct their daily business.

As a consequence of these stresses to their privacy and out of concern to preserve respect for their traditions, the Alaska Native communities of the area affected by the spill, assisted by EVOS staff, the Chugach Regional Resources Commission, and staff

from Trustee Council agencies, have developed a series of protocols formalizing their relationship with outside researchers. These protocols provide a set of guidelines that will facilitate collaboration between Alaska Natives and scientists in meeting the goals of EVOS restoration. The protocols describe the major elements of a research partnership, but their application depends on common sense and courtesy. For those researchers planning to collaborate with local respondents in the collection of indigenous knowledge or whose proposed research directly affects subsistence activities, the EVOS Trustee Council requires consideration of these protocols prior to the initiation of research.

The objectives of these protocols are:

1. Provide guidelines for restoration project planning and review
2. Identify a set of ethical principles that establishes the parameters for a research partnership between Alaska Native communities and restoration scientists
3. Establish procedures for facilitating the collection of indigenous knowledge in restoration projects
4. Provide guidance on the development of research agreements between Alaska Native communities and researchers.

Protocols

1. Project planning and review.

a) In developing projects that include the collection and use of indigenous knowledge, researchers and community residents should keep in mind how this information will be used in improving restoration, management, education, and future research.
b) In designing restoration projects that include indigenous knowledge, researchers should recognize that local communities' knowledge of and interest in natural resources extends beyond the physical boundaries of the communities themselves to their harvest areas and beyond.
c) All research proposals involving indigenous knowledge will be reviewed by the TEK Specialist, the Community Facilitators, and village councils, and their recommendations will be forwarded to the Executive Director. The overall program of research involving indigenous knowledge will be reviewed annually.
d) Costs for incorporating TEK in a restoration project should be reflected in the project's budget.

2. Ethical principles. EVOS research which involves the collection and use of indigenous knowledge should follow the ethical principles for research listed below, which are based upon guidelines adopted by the Alaska Federation of Natives (AFN) Board of Directors in May 1993 (attached).

e) Advise Alaska Native communities and people who are to be involved in or affected by the study of the purpose, goals, and time-frame of the research, the proposed data-gathering techniques, and the potential positive and negative implications and impacts of the research.
f) Obtain the informed consent of the appropriate governing bodies and of individual participants
g) Protect the knowledge and cultural/intellectual property of the Alaska Native people
h) Seek to hire local community research assistants, and provide meaningful training

to Alaska Native people to develop research skills, as appropriate

i) Use the local Alaska Native language in oral communications whenever English is the second language
j) Address issues of confidentiality of sensitive material
k) Include Alaska Native viewpoints in the final study report
l) Acknowledge the contributions of local research assistants and respondents in project reports
m) Provide the communities with a summary of the major findings of the study in non-technical language.
n) Provide copies of the annual and final project reports and related publications to the local library

The AFN Guidelines also include establishing and funding a "Native Research Committee." This may not be necessary in most EVOS Restoration Projects, depending upon the scope of the collection of indigenous knowledge and the wishes of the local community. Also, a new entity may not be necessary. For example, the traditional council may serve as such a review body. This point should be addressed in a "research agreement," as discussed in #4, below.

3. Facilitating the collection of indigenous knowledge.

o) Initial contacts should be made through the TEK Specialist hired under Project 97052B to discuss the potential collection of indigenous knowledge in a project. The TEK Specialist will then pass the requests on to the communities concerned, and assist in establishing contact between the researcher and the Community Facilitator. The TEK Specialist will also inform the Spill Area Wide Coordinator of such requests.
p) Once contact has been established through the TEK Specialist, researchers should use the Community Facilitator or designee as the primary community contact.
q) The Community Facilitator or designee will arrange for the researcher to meet with the Village Council (or other appropriate body authorized by the Village Council) to discuss the project's goals, scope, methods, expectations, benefits and risks. The Facilitator or designee will help orient the researcher to the community and its customs.

4. Research agreements.

The researcher and the Village Council (or other appropriate body authorized by the Village Council), assisted by the Community Facilitator, will work together to set up a research agreement. In developing the agreement, the following topics should be considered: the nature of the research, the form of consent that will be required, the need for local research assistants, compensation of participants, acknowledgments, anonymity and confidentiality of personal and other sensitive information, project monitoring, project review, final disposition of data, and provision of study results. The agreement may take one of several forms, such as a binding contract, a memorandum of agreement, a letter of agreement, or a village resolution. In any agreement, the responsibility and expectations of the researcher and the community should be spelled out. Terms and conditions should be clear and understandable to all parties, should not place unreasonable or unfair burdens on the participants, and must be consistent with applicable laws.

AFN BOARD ADOPTS POLICY GUIDELINES FOR RESEARCH

At its quarterly meeting in May 1993, the AFN Board of Directors adopted a policy recommendation that includes a set of research principles to be conveyed to scientists who plan to conduct studies among Alaska Natives.

The principles will be sent to all Native organizations and villages in the hope that compliance by researchers will deter abuses such as those committed in the past which lately have come to light.

Alaska Natives share with the scientific community an interest in learning more about the history and culture of our societies. The best scientific and ethical standards are obtained when Alaska Natives are directly involved in research conducted in our communities and in studies where the findings have a direct impact on Native populations.

AFN recommends to public and private institutions that conduct or support research among Alaska Natives that they include a standard category of funding in their projects to ensure Native participation.

AFN conveys to all scientists and researchers who plan to conduct studies among Alaska Natives that they must comply with the following research principles:

* Advise Native people who are to be affected by the study of the purpose, goals, and time-frame of the research, the data-gathering techniques, the positive and negative implications and impacts of the research.

* Obtain the informed consent of the appropriate governing body.

* Fund the support of a Native Research Committee appointed by the local community to assess and monitor the research project and ensure compliance with the expressed wishes of Native people.

* Protect the sacred knowledge and cultural/intellectual property of Native people.

* Hire and train Native people to assist in the study.

* Use Native language whenever English is the second language.

* Guarantee confidentiality of surveys and sensitive material.

* Include Native viewpoints in the final study.

* Acknowledge the contributions of Native resource people.

* Inform the Native Research Committee in a summary and in non-technical language of the major findings of the study.

* Provide copies of studies to the local library.

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