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Invitation to Submit
Restoration Proposals
for
Federal Fiscal Year

2003

Phase II

July 2002

Prepared by:

Exxon Valdez Oil Spill Trustee Council

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

July 15, 2002

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DATES TO REMEMBER in 2002

➡ Sept. 4: Phase II proposals due

If you have questions about the proposal process, call the Trustee Council Office:

1-907-278-8012

1-800-478-7745 toll free within Alaska

1-800-283-7745 toll free outside Alaska

➡ *Oct. 25: Draft Work Plan Phase II released

➡ Nov. 25: Public comment period closed on Draft Work Plan Phase II

➡ Nov. 25: Trustee Council decision on Phase II

** Tentative date*

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

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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 projects to be included in the annual work plan. This year, the FY 03 invitation is being issued in two phases:

Phase I, which was issued in February 2002, solicited 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. Phase I also contains funds for the science and data management, public information, and administrative components of the Trustee Council's program. The Council's Executive Director is recommending awards under Phase I of roughly \$4.0 million (approximately \$1.2 million related to lingering oil effects, \$1.0 million related to GEM, and \$1.8 million for science and data management, public information, and administration). The Trustee Council is scheduled to take action on this recommendation on August 6, 2002.

Phase II, which is this invitation, solicits proposals to begin implementation of GEM. The total amount of awards under Phase II will be roughly \$2.0 million.

This invitation has three parts:

- **Introduction.** This section describes the work plan process and funding caps. It also includes a notice for a Broad Agency Announcement (BAA) that is being issued concurrently with this invitation.
- **Invitation.** This section provides background on GEM, describes the status of GEM planning and implementation, identifies GEM transition projects recommended for funding through the FY 03 Phase I invitation, and invites proposals for FY 03 Phase II.
- **Instructions for Submitting a Proposal.** This section gives detailed instructions for preparing and submitting a proposal, and describes how proposals will be evaluated.

Please be advised: All proposers are encouraged to familiarize themselves with the GEM Program Document and the Oil Spill Restoration Plan. Both documents are available from the Trustee Council Office or on the web at www.oilspill.state.ak.us.

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	<i>FY 03 Phase I Invitation</i> issued.
April 15, 2002	FY 03 Phase I proposals due.
June 15, 2002	Executive Director's recommendation on FY 03 Phase I projects out for public comment.
Aug. 6, 2002	Trustee Council scheduled to approve FY 03 Phase I projects.
July 15, 2002	<i>FY 03 Phase II Invitation</i> issued.
Sept. 4, 2002	FY 03 Phase II proposals due.
Oct. 25, 2002	Executive Director's recommendation on FY 03 Phase II projects out for public comment.
Nov. 25, 2002	Trustee Council scheduled to approve FY 03 Phase II projects.

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 GEM projects, including those related to the effects of lingering oil) and the science and data management/public information/administrative costs of the program.

As illustrated in Table 2, the cap for FY 03 has been set at \$6 million. The public information/administrative component of the program is expected to cost roughly \$1.1 million in FY 03, leaving roughly \$4.9 million for the work plan. Of this amount, approximately \$2.9 million is recommended for award under Phase I of the invitation, and approximately \$2 million is expected to be awarded under 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. FY 03 and Future Year Funding Caps

→ FY 03	\$6.0 million
FY 04	\$6.0 million
FY 05	\$5.6 million (estimate)
FY 06 +	\$5.7 million (estimate)

Attention Proposers Who Represent a Private Organization, Non-Profit Group, or University from a State Other than Alaska: Submit Through the BAA

As part of this invitation, the National Oceanic and Atmospheric Administration (NOAA) is issuing a Broad Agency Announcement (BAA) on behalf of the Trustee Council, requesting proposals for any of the topics identified in this invitation. Proposers representing private organizations, non-profit groups, and universities from states other than Alaska, please see page 14 for information on submitting a proposal under the BAA.

Attention All Proposers: New Data Policy & Procedures

For those of you who have participated in the Trustee Council's restoration program in the past, please note that the Council has adopted a new data policy and revised its project report requirements. The data policy and the report procedures are available from the Trustee Council Office or on the web at:

<http://www.oilspill.state.ak.us/pdf/admin/datapolicy.pdf> (data policy)

<http://www.oilspill.state.ak.us/pdf/admin/reportguidelines.pdf> (report procedures)

Several other changes from previous years' invitations have also been made, so please read the invitation and instructions sections carefully. In particular, note that your proposal narrative must address all years of the proposed project and a fully detailed budget form must be submitted for each year for which you are requesting Trustee Council funding. Beginning with the FY 04 project year, multi-year projects will no longer be required to submit a proposal to receive continuation funds. Rather, the annual report (in a modified format and with a new due date of September 1) will be used to evaluate project progress and the appropriateness of continued funding.

Also note that all proposers must sign and submit with their proposal a form (Attachment A) indicating their willingness to comply with the Trustee Council's data and report requirements.

INVITATION

This invitation solicits proposals to begin implementation of the Gulf of Alaska Monitoring and Research Program (GEM).

Background on GEM

GEM is a long-term effort to increase understanding of Gulf of Alaska ecosystems and to monitor natural and human-induced change in these systems. GEM's mission is to:

Sustain a healthy and biologically diverse marine ecosystem in the northern Gulf of Alaska and the human use of the marine resources in that ecosystem through greater understanding of how its productivity is influenced by natural changes and human activities.

GEM will be funded through a roughly \$120 million endowment established by the Trustee Council from the remaining *Exxon Valdez* oil spill settlement funds. The Council has endowed this program as a final legacy of its mission to restore the fish and wildlife resources injured by the spill. In making the decision to allocate these funds for a long-term program of monitoring and research, the Council explicitly recognized that complete recovery from the oil spill may not occur for decades and that full restoration of these resources will most likely be achieved through long-term observation and, as needed, restoration actions. The Council further recognized that conservation and improved management of these resources and services would require substantial ongoing investment to improve understanding of the marine and coastal ecosystems that support the resources, as well as the people, of the spill region.

Improving the quality of information available to resource managers should result in improved resource management. In addition, prudent use of the natural resources of the spill area without compromising their health and recovery requires increased knowledge of critical ecological information about the northern Gulf of Alaska (GOA). This knowledge can only be provided through a long-term monitoring and research program that will span decades, if not centuries. GEM has five major programmatic goals. These are to:

1. DETECT: Serve as a sentinel (early warning) system by detecting annual and long-term changes in the marine ecosystem, from coastal watersheds to the central gulf;
2. UNDERSTAND: Identify causes of change in the marine ecosystem, including natural variation, human influences, and their interaction;
3. INFORM: Provide integrated and synthesized information to the public, resource managers, industry, and policy makers in order for them to respond to changes in natural resources;

4. SOLVE: Develop tools, technologies, and information that can help resource managers and regulators improve management of marine resources and address problems that may arise from human activities; and
5. PREDICT: Develop the capacity to predict the status and trends of natural resources for use by resource managers and consumers.

Consistent with the Trustee Council's *Exxon Valdez* Oil Spill Restoration Plan (1994), GEM activities will occur within the area affected by the 1989 oil spill, which is generally the northern GOA, including Prince William Sound (PWS), Cook Inlet, the Kodiak Archipelago, and the Alaska Peninsula. Recognizing that the marine ecosystems affected by the spill do not have discrete boundaries, some monitoring and research activities may extend into adjacent areas of the northern GOA.

Four habitat types, representative of the GEM project area, are used to better organize the GEM program: watershed, intertidal/subtidal, Alaska Coastal Current (ACC), and offshore (the continental shelf break and the Alaska Gyre). These habitats are composed of identifiable, although not rigid, collections of characteristic microhabitats, resident and migratory species, and physical features. It is fully recognized that linkages, flows, and processes between the habitat types must be studied. The scientific strategy of GEM uses a central hypothesis and key questions developed from a conceptual foundation to establish the initial direction for the program in each of the four habitat types. From this starting point, GEM follows a path of synthesis, research, and monitoring to detect, understand and eventually predict changes in living marine-related resources in the GEM region.

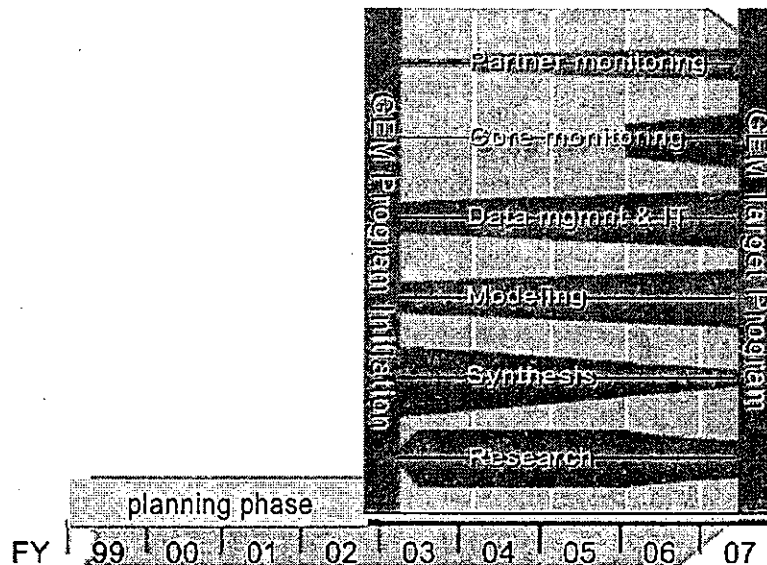
Figure 1 shows the prioritization for implementing the GEM program through research, synthesis, modeling, data management and information technology, core monitoring, and partner monitoring over the next five years.

Status of GEM

In August 2001, the GEM Program Document was submitted to the National Research Council (NRC) for review. The Trustee Council received comments from the NRC in May 2002, and revised the document to respond to the NRC review. The Trustee Council gave final approval to the revised GEM Program Document in July 2002.

Also in May, the Scientific and Technical Advisory Committee (STAC) had its first meeting. The STAC is a standing committee that will play a key role in guiding the GEM program and ensuring it is implemented with a high degree of scientific integrity. In early July 2002, the Council issued a call for nominations for three subcommittees to support the STAC and program implementation: a lingering oil effects subcommittee, a GEM habitat subcommittee, and a data management subcommittee. The GEM habitat subcommittee may be further divided by habitat type (i.e., watershed, intertidal/subtidal, Alaska Coastal Current, and offshore). The subcommittees, which will be composed of scientists, resource managers, community members and other experts, will assist the STAC in identifying priority areas for synthesis, research, and monitoring.

Figure 1: GEM Implementation Schedule



Because the STAC and the subcommittees are not yet fully functional, they have not had time to participate in charting the longer-term course for GEM. Therefore, the commitment of funds at this time will be very conservative. Funding will be primarily limited to synthesis, as well as to some research in the intertidal/subtidal habitat area where only relatively short-term commitments are required for success and where a general consensus on some limited research has been reached. Due to several successful workshops in 2001-02 on approaches to studying long-term change in the intertidal/subtidal, this habitat area has received the first stages of the kind of guidance that the STAC and subcommittees eventually are expected to yield for all habitat types in the future. (For more information on the intertidal/subtidal workshops, contact the Trustee Council Office or see http://www.oilspill.state.ak.us/events/Nearshore_2002/index.html.)

In February 2002, the Trustee Council issued Phase I of its FY 03 invitation which solicited 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. Sixteen GEM-related proposals were received. The Council is scheduled to approve Phase I projects in August 2002. This document is Phase II of the FY 03 invitation and solicits proposals to begin implementation of GEM.

Invitation Topic Areas

This invitation is organized by the following topic areas: cross-habitat tools and strategies (which extend across GEM habitat types) and the watershed, intertidal/subtidal, Alaska Coastal Current (ACC), and offshore habitat areas.

CROSS-HABITAT TOOLS & STRATEGIES

Cross-habitat tools and strategies extend across GEM habitat types.

Synthesis

Synthesis projects build on and update the current understanding of the northern Gulf of Alaska. They bring together existing data from any number of disciplines, times, and regions to evaluate different aspects of GEM's central hypothesis and key questions, as well as related ideas. Within the GEM program, synthesis is defined as interdisciplinary and/or concerned with multiple habitat types.

Synthesis is used (1) to provide direction for developing hypotheses to be tested and, combined with research and monitoring, to update and refine the GEM conceptual foundation; (2) as a tool—for example, in workshops, meetings, or publications—to inform stakeholders and the public about the developing understanding of the factors responsible for change in the marine environment; and (3) to solve resource management problems, by identifying new applications of existing information or by identifying opportunities to solve existing problems through collection of new information. Synthesis is a logical place to begin the cycle of monitoring and research, but once used to initiate a project, it logically becomes a companion to research. In addition, synthesis will be conducted periodically throughout the GEM program.

Phase I Proposals Recommended for Funding

- Underway in FY 02 and recommended for continuation through the Phase I invitation: Project 02600 is synthesizing the results from 12 years of post-spill study in the Trustee Council's damage assessment and restoration programs.
- Recommended for funding through the Phase I invitation: Project 03607 will create a GIS map of water quality monitoring sites in the Gulf of Alaska; Project 03625 will prepare a synthesis paper on the present structure of the pelagic ecosystem of Prince William Sound.

Phase II Invitation

- Proposals are invited to use data, literature and other information sources from the Gulf of Alaska and adjacent waters to develop hypotheses for focusing GEM's long-term research and monitoring programs.

- Proposals are invited to make important regional data sets or bodies of literature more readily accessible to researchers in the biological and physical sciences, to natural resource managers, to resource-dependent people such as subsistence and commercial fishers, or to educators in natural sciences.
- Proposals are invited to compile, assess and analyze biological and physical datasets from EVOS research from 1989 to the present.

Modeling

Modeling projects make clear the relationships between the parts and processes of the ecosystem. Models are tools for organizing data and telling a story and can be written in a variety of media as verbal, visual, statistical, or numerical models. The purposes of modeling under GEM are to: (1) inform, communicate, and provide common problem definition; (2) identify core variables and relationships; (3) set priorities; (4) improve and develop experimental (monitoring) designs; and (5) improve decision-making and risk assessment.

Modeling, monitoring, and data management strategies must work in concert for each to be fully effective. Modeling is a pivotal link between monitoring and data management and information transfer on the one hand, and synthesis and research on the other. Modeling feeds back information to the monitoring program in the form of recommendations on how the monitoring program can be made more effective. Modeling also helps interpret data for the use of synthesis and research activities.

Phase I Proposals Recommended for Funding

- Underway in FY 02: Project 02603 is expanding the ocean circulation model developed under SEA (Sound Ecosystem Assessment) to the Gulf of Alaska.

Phase II Invitation

- The Trustee Council is not soliciting for modeling proposals at this time, but will consider new innovative proposals in this area.

Community Involvement

Meaningful public and community participation is an essential part of the Trustee Council's process. This includes involvement of communities and stakeholders in monitoring, data analysis and issue prioritization and a commitment to communicate research results to the public through workshops, seminars, and the like.

Phase I Proposals Recommended for Funding

- Underway in FY 02 and recommended for continuation through the Phase I invitation: Project 02052 is developing local natural resource stewardship capacity among Alaska Native tribes in the spill area; Projects 02210 and 02610 involve junior and senior high school students in marine research projects in the

spill area; Project 02561 is exploring involving local residents in long-term forage fish monitoring studies; Project 02636 is working to build a bridge between the scientific and commercial fishing communities.

- Recommended for funding through the Phase I invitation: Project 03575 will design a community involvement and community-based monitoring component for GEM.

Phase II Invitation

- The Trustee Council is not soliciting community involvement proposals at this time, pending the results of Project 03575, Designing a Community Involvement/Community-Based Monitoring Plan for GEM (see above).

HABITAT TOPICS

Habitat topics are topics that are defined within a GEM habitat type.

Watershed

Projects in the watershed habitat focus on long-term monitoring of marine-related productivity in watersheds to evaluate the effects of human activities and natural forces. The key question the GEM program seeks to answer with respect to watersheds is: *What are the relative roles of natural forces (such as climate) and human activities (such as habitat degradation and fishing) as distant and local factors in causing short-term and long-lasting changes in marine-related biological production in watersheds?*

Phase I Proposals Recommended for Funding

- Underway in FY 02 and recommended for continuation through the Phase I invitation: Project 02649 is reconstructing changes in sockeye salmon abundance using the 15N record left by salmon carcasses in the sediments of spawning lakes.
- Will be completed in FY 02: Project 02612 is studying the role of marine-derived nutrients in the Kenai River ecosystem; Project 02668 is creating a database designed to improve management of citizen-collected water quality data.
- Recommended for funding through the Phase I invitation: Project 03596 will support continued operation of a water flow gauge used in water quality monitoring on the Ninilchik River.

Phase II Invitation

- The Trustee Council is not soliciting watershed proposals at this time, but will consider new innovative proposals in this area. Synthesis proposals that cut

across habitat types and may include watersheds are being solicited (see page 7).

Intertidal/subtidal

Projects in the intertidal/subtidal habitat focus on identifying how human activities and natural events can change the community structure of the intertidal/subtidal areas. The key question GEM seeks to answer with respect to intertidal/subtidal habitats is: *What are the relative roles of natural forces (such as currents and predation) and human activities (such as small-scale development and increased urbanization) as distant and local factors in causing short-term and long-lasting changes in the community structure and dynamics of intertidal/subtidal habitats?*

Phase I Proposals Recommended for Funding

- Underway in FY 02 and recommended for continuation through the Phase I invitation: Project 02584 is exploring airborne remote sensing instrumentation as a monitoring tool for GEM; Project 02656 is investigating long-term patterns of productivity and species abundances in intertidal/subtidal communities through analysis of archaeological material and isotopes.
- Underway in FY 02: Projects 02613 and 02619 are conducting aerial video imaging of the coastline from Prince William Sound to McCarty Fjord and along the northern section of Kodiak and Afognak islands.

Phase II Invitation

- Proposals are invited to conduct baseline research on diversity and distribution of marine organisms at one or more locations within the GEM area. Successful proposals will be those that choose research sites based on a number of criteria including: availability of historical data on site biology and physiology, proximity to other research areas, relative level of pristineness, long-term stability of the site, accessibility, and representativeness (in terms of biodiversity, GOA habitats, etc.). The GEM program is particularly interested in proposals that plan to use the coastal monitoring protocol being developed under the Census of Marine Life and the Diversitas Western Pacific and Asia (DIWPA) program. More information on these programs is available on the web at: http://www.coreocean.org/Dev2Go.web?anchor=coml_home_page (Census of Marine Life—look under “CoML Elements” and then under “Initial Field Projects”) and <http://ecology.kyoto-u.ac.jp/~gaku/diwpaindex.html> (DIWPA protocol).
- Proposals are invited to pull together existing data from previous research conducted by agencies and partners. Proposers are referred to the results of the April 2002 workshop *Detecting and Understanding Change in Intertidal/Subtidal Environments: Planning for Habitat Mapping in the Gulf of Alaska* (available from the Trustee Council Office or on the web at http://www.oilspill.state.ak.us/events/Nearshore_2002/index.html) for information on mapping and inventory priorities. Proposals in this category should specify the

variables to be mapped, the mapping protocol, and the scale of the mapping effort. All mapping projects must include georeferenced data.

- Synthesis proposals that cut across habitat types and may include intertidal/subtidal are also being solicited (see page 7).

Alaska Coastal Current (ACC)

Projects in the Alaska Coastal Current (ACC) habitat focus on developing collaboration between physical and biological scientists to decide how best to detect changes in annual and seasonal production and transfer of energy to higher trophic levels. The key question GEM seeks to answer with respect to the ACC is: *What are the relative roles of natural forces (such as the variability in the strength, structure and dynamics of the ACC) and human activities (such as fishing and pollution) in causing local and distant changes in production of phytoplankton, zooplankton, birds, fish and mammals?* A significant amount of work is already being conducted in this area under the auspices of the GLOBEC (Global Ocean Ecosystem Dynamics) and OCC (Ocean Carrying Capacity) programs. The Trustee Council is interested in identifying gaps in current research that provide opportunities for collaboration with research partners on questions of primary interest to GEM. These include variability in the current structure and dynamics of the ACC, nutrient supply, and selected populations and the processes affecting populations.

Phase I Proposals Recommended for Funding

- Underway in FY 02 and recommended for continuation through the Phase I invitation: Project 02340 supports hydrographic station GAK1 and the accompanying retrospective analysis of the station's data record.

Phase II Invitation

- The Trustee Council is not soliciting ACC proposals at this time, but will consider new innovative proposals in this area. Synthesis proposals that cut across habitat types and may include the ACC are being solicited (see page 7).

Offshore

Projects in the offshore habitat focus on the effect of the Alaska gyre on the natural variability in seasonal and annual productivity along the continental shelf and the ACC. The key question GEM seeks to answer with respect to the offshore habitat area is: *What are the relative roles of natural forces (such as changes in the strength of the ACC and Alaskan Stream, mixed layer depth of gyre, wind stress and downwelling) and human activities (such as pollution) in determining production of carbon and its shoreward transport?*

Phase I Proposals Recommended for Funding

- Underway in FY 02 and recommended for continuation through the Phase I invitation: Project 02614 is testing the ships-of-opportunity concept by installing a thermosalinograph and fluorometer on an oil tanker traveling between Valdez and Long Beach.
- Underway in FY 02: Project 02552 is gathering and analyzing data from the Hinchinbrook Entrance buoy; Project 02624 is installing a continuous plankton recorder on an oil tanker traveling between Valdez and Long Beach and on a second vessel along a Vancouver, B.C. to Kamchatka monitoring line; Project 02671 is developing logistics for a network of ships of opportunity in Kachemak Bay.

Phase II Invitation

- The Trustee Council is not soliciting offshore proposals at this time, but will consider new innovative proposals in this area. Synthesis proposals that cut across habitat types and may include the offshore are being solicited (see page 7).

GENERAL INSTRUCTIONS FOR SUBMITTING A PROPOSAL

- All proposals must be received in the Anchorage Trustee Council Office by **5:00 p.m. Wednesday, September 4, 2002**. A signed form indicating willingness to abide by the Trustee Council's data and report requirements must be submitted with the proposal (see Attachment A).
- All proposals must be presented by federal fiscal year (October 1-September 30). Because FY 03 (October 1, 2002-September 30, 2003) is the first year of GEM implementation and many decisions about the long-term program have not yet been made, most FY 03 Phase II proposals will be approved for one year only (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, the proposal narrative must describe all project years and a completed budget form must be submitted for each fiscal year for which funding is requested. Because the Trustee Council will not approve Phase II proposals until November 25, 2002, the funding period for Phase II proposals will be roughly December 1, 2002 through September 30, 2003.
- Three paper copies and one electronic copy of the proposal (narrative and budget), prepared per the format and content instructions pages 18-40, must be submitted. Electronic copies of the proposal narrative must be in Microsoft Word 2000 for Windows or lower or WordPerfect 9.0 or lower. Electronic copies of the proposal budget must be in Excel. An electronic copy of the proposal forms (both narrative and budget) is available from the Trustee Council Office or on the web at www.oilspill.state.ak.us/admin/index.html.
- Send your proposal by mail to (please note new address):
Exxon Valdez Oil Spill Trustee Council
441 West 5th Avenue, Suite 500
Anchorage, AK 99501-2340
The electronic copy (paper copies are also required) may be submitted on an IBM-compatible disk or e-mailed to:
projects@oilspill.state.ak.us
No faxes, please.
- All proposals submitted to the Trustee Council are considered public documents and will be available for public review.
- Proposers who represent private organizations, non-profit groups, and universities from states other than Alaska are encouraged to submit their proposals through the BAA process. See page 14 for details.
- If you have questions about submitting a proposal, contact Sandra Schubert at the Trustee Council 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

ADDITIONAL INSTRUCTIONS FOR CERTAIN PROPOSERS

- **If you represent a private organization, a non-profit group, or a university from a state other than Alaska...** it is to your benefit to submit your proposal through the Broad Agency Announcement (BAA) process, as well as to the Trustee Council 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 a Broad Agency Announcement (BAA) issued 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 the further competitive solicitation requirement that is imposed if you apply outside of the BAA.

As part of this invitation, NOAA is issuing a BAA on behalf of the Trustee Council, requesting proposals for any of the topics identified in this invitation. To submit your proposal through the BAA process, submit three paper copies of your narrative and budget to NOAA at the address below by 2:00 p.m. Pacific Daylight (Seattle) time on Wednesday, September 4, 2002. (This is in addition to the three paper copies of the proposal that must be submitted to the Trustee Council Office.) Include the words "submitted under the BAA" as part of your project's title.

More information is contained in the Broad Agency Announcement itself (BAA #52ABNF300003) 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
Sharon.S.Kent@noaa.gov

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.

- **If you are an employee of a Trustee Council agency (ADEC, ADF&G, ADNR, DOI, NOAA, or USFS)...** your agency may have additional, internal requirements related to the preparation and submittal of proposals. Contact the EVOS Project Manager at your agency 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. The GEM program is one aspect of restoration, which includes long-term observation and ecosystem-based research designed to improve understanding of the marine and coastal ecosystems that support the resources of the spill region. Proposals must also be consistent with the policies contained in the Restoration Plan adopted by the Trustee Council in November 1994 (available from the Trustee Council Office or on the web at <http://www.oilspill.state.ak.us/pdf/restoration/restorationplan.pdf>). Trustee Council staff will also review each proposal for completeness and for adherence to the format and content instructions contained in pages 18-40 of this invitation.

- **Technical and Programmatic Review...**

All proposals will undergo independent technical peer review, conducted by nationally or regionally recognized scientific experts. In addition, proposals will be reviewed by the Trustee Council's Scientific and Technical Advisory Committee (STAC) and appropriate subcommittees for the extent to which the proposal will contribute to meeting the GEM program's goals, hypotheses, and questions, and also for how the proposal will contribute to meeting the implementation goals and strategies of the Council. These include promoting community involvement, developing resource management applications, and leveraging funds from other sources.

Proposals will be evaluated on the following technical aspects: (a) understanding of the problem, (b) soundness of the technical approach, (c) innovation and uniqueness of the proposal, (d) feasibility, (e) capabilities, experience, and past performance of the proposer(s) and key personnel, as well as whether facilities or other factors integral to the proposal's success are available to support the proposal, and (f) cost effectiveness of the proposal. In addition, proposals related to the lingering effects of oil will be evaluated on the extent to which the proposal will help achieve the restoration objectives identified by the Trustee Council for a given injured resource. You may be asked to respond to technical review comments on your proposal, or to revise your proposal to address concerns of the technical 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 27-40 of this invitation. 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 be reviewed by the Trustee Council's Public Advisory Group, a 17 member group representing a cross section of interests affected by the oil spill.

- **Public Comment and Funding Decision...**

The Trustee Council's Executive Director will develop a funding recommendation based on the reviews described above. The recommendation will be circulated for public comment as the draft work plan. The Council will then decide which proposals will be funded. Unanimous agreement of all six Council members is required to fund a proposal.

IF YOUR PROPOSAL IS FUNDED BY THE TRUSTEE COUNCIL

Once the Trustee Council approves project funds, the Council's Executive Director will provide spending authorization on a project-by-project basis. To receive authorization to spend, each project must first document compliance with the National Environmental Policy Act (NEPA), document if applicable the deployment procedure intended to insure against loss of data for any equipment to be used, address any project-specific conditions spelled out by the Council in their approval motion, and be current on the Council's reporting and data requirements. During project implementation, principal investigators (PIs) must do the following:

- **Develop a data management plan.** In collaboration with the Trustee Council's Data Systems Manager, develop a data management plan. This plan will include procedures to process, document and migrate all data to be collected to archives identified by the Data Systems Manager. In addition, the Data Systems Manager will collaborate with PIs on data formats. (For more information, see *Data Policy* available from the Trustee Council Office or on the web at <http://www.oilspill.state.ak.us/pdf/admin/datapolicy.pdf>.)
- **Provide a quarterly report on the project's progress** to the Trustee Council Office. The report must indicate whether the project's major tasks (as identified in the proposal) are being accomplished according to schedule and flag any problems being encountered. The report consists of filling out a form supplied by the Trustee Council Office.
- **Attend the Annual EVOS Workshop.** In FY 03, the Trustee Council's annual workshop will be a joint symposium with GLOBEC (Global Ocean Ecosystem Dynamics) and the National Marine Fisheries Service Steller Sea Lion Coordinated Investigations. The symposium will be held in Anchorage, January 13-17, 2003. 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.** In some years, the Trustee Council's Science Director schedules intensive workshops on specific topics. These workshops are usually held in Anchorage, but may occur at other locations. Selection of the dates of the technical workshops takes into account Pls' schedules.
- **Submit annual and final project reports.** Annual reports are required on multi-year projects by September 1 of each fiscal year for which funding is received. Final reports are required upon project completion. Pls must revise all final reports to respond to peer review comments, if any; revision of annual reports is not required. Final reports are made available to the public through the Alaska Resources Library and Information Services (ARLIS) and on the Trustee Council's web page; annual reports are made available only on the Council's web page. In addition, Pls are encouraged to post reports on their own web pages. (For more information, see *Procedures for the Preparation and Distribution of Reports* available from the Trustee Council Office or on the web at <http://www.oilspill.state.ak.us/pdf/admin/reportguidelines.pdf>). Pls are expected to publish results of their work in the peer-reviewed literature as well.
- **Maintain samples and data taken during the course of the project.** Because the Trustee Council's program is still subject to potential litigation, certain requirements have been imposed by state and federal courts regarding destruction of samples and documents related to EVOS. There are significant legal consequences if items are destroyed other than as prescribed by the courts. (For more information, see *Procedures for Destroying Documents or Physical Evidence Related to EVOS* available from the Trustee Council Office or on the web at <http://www.oilspill.state.ak.us/pdf/admin/prosample.pdf>).
- **If applicable, comply with the Trustee Council's TEK protocols.** Protocols for including traditional ecological knowledge in the restoration process were adopted by the Trustee Council in December 1996. These protocols provide guidelines designed to facilitate collaboration between Alaska Natives and scientists in meeting the Council's restoration goals. (For more information, see *Protocols for Including Indigenous Knowledge in the EVOS Restoration Process* available from the Trustee Council Office or on the web at <http://www.oilspill.state.ak.us/pdf/admin/protex.pdf>.)
- **If possible, maintain a web site on the project.** The web site should include the project's annual and final reports, and any additional information that would help inform the public about the project. The web site must include the following statement: "This project was supported by the Exxon Valdez Oil Spill Trustee Council. However, any findings and conclusions presented on this web site are the investigators' own and do not necessarily reflect the views or position of the Trustee Council." A link to the project's web site will be provided on the Trustee Council's web site.

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

PROPOSAL FORMAT AND CONTENT: NARRATIVE

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

General Formatting Instructions

- **Program.** Microsoft Word 2000 for Windows or lower or WordPerfect 9.0 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; include date prepared and page number
- **First page.** This summary page must be a stand-alone page
- **Paper copies.** Copies must be submitted single-sided; color figures or photographs will be reproduced in black and white
- **Electronic copy.** Electronic copies must be in Microsoft Word 2000 for Windows or lower or WordPerfect 9.0 or lower; any figures or tables must be imbedded
- **Signature.** A signed form indicating willingness to abide by the Trustee Council's data and report requirements must be submitted with the proposal (see Attachment A)

The following pages contain additional formatting instructions and content requirements.

The layout of your proposal narrative must be as much like the following sample as possible. An electronic copy of the proposal form is available from the Trustee Council Office or on the web at www.oilspill.state.ak.us/nonpdf_docs/admin/narrative.doc or www.oilspill.state.ak.us/nonpdf_docs/admin/narrative.wpd.

EVOS PROPOSAL SUMMARY PAGE

(Trustee Council Use Only)

Project No. _____

Cluster _____

Date Received _____

- Project Title: (Maximum 80 characters; if the project is submitted under the Broad Agency Announcement, add "submitted under the BAA" to the title--see page 14 for information on the BAA)
- Project Period: Federal fiscal years--October 1st to September 30th--for which funding will be requested from the Trustee Council; for example "FY 03-FY 04")
- Proposer: (Name of individual proposing project. Include affiliation and contact information--address, phone, fax, e-mail) [PLEASE NOTE: The e-mail address will be the primary method of communication regarding the status of your proposal.]
- EVOS Funding: (Total EVOS funding requested; i.e., the sum of all project years) [PLEASE NOTE: Because FY 03 is the first year of GEM implementation and many decisions about the long-term program have not yet been made, most projects funded for FY 03 are expected to be approved for one year only (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 included here.]
- Matching Funds: (Total funds from non-EVOS sources, if any, that will be applied to the project)
- Study Location: (General area in which field work will be conducted; e.g., Prince William Sound, Kodiak, Kenai Peninsula)
- Trustee Agency: (Lead Trustee Agency, if known--ADEC, ADFG, ADNR, DOI, NOAA, USFS)

Abstract:

Provide a brief (150 words or less) summary of the project. Include what question(s) the project will address, what products the project will produce, and where and when the work will be done. The abstract may be edited for clarity, brevity, and readability by Trustee Council staff.

Please start a new page after the abstract.

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

I. INTRODUCTION

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

II. NEED FOR THE PROJECT

A. Statement of Problem

What is the problem the project is designed to address? Describe the background and history of the problem. Include a scientific literature review that covers the most significant previous work history related to the project, including work of key project personnel on any past or current work similar to the proposal. The purpose of the literature review is to place the proposed research in the larger context of what work has been done, what is known, and what remains to be known. All references should be concisely summarized, cited, and listed in Section X below.

B. Rationale/Link to Restoration

Why should the work be done? Discuss how the project will contribute to restoration. For GEM-related proposals, use the following language to respond to this section: "In establishing the GEM Program, the Trustee Council explicitly recognized that complete recovery from the oil spill may not occur for decades and that full restoration of injured resources will most likely be achieved through long-term observation and, as needed, restoration actions. The Council further recognized that conservation and improved management of injured resources and services will require substantial ongoing investment to improve understanding of the marine and coastal ecosystems that support the resources, as well as the people, of the spill region. In addition, prudent use of the natural resources of the spill area without compromising their health and recovery requires increased knowledge of critical ecological information about the northern Gulf of Alaska. This knowledge can only be provided through a long-term monitoring and research program that will span decades, if not centuries."

For projects related to lingering oil effects, discuss which injured resource or service the project is designed to restore.

C. Link to GEM Program Document

How will the proposed activity help achieve the GEM program's mission and goals? Discuss how the project will evaluate the hypotheses or questions posed in the GEM Program Document. Also use this section to describe, if applicable, how your project makes a contribution to data management and information transfer, modeling, and cross-habitat processes and linkages.

III. PROJECT DESIGN

A. Objectives

What are the project's objectives? If your project has multiple objectives, please format them like the following example.

1. Develop sediment-core chronologies in lake-productivity indicators.
2. Compare sediment data corresponding to the past few decades to salmon population statistics.
3. Reconstruct time-series of lake productivity, input of marine-derived nutrients, and salmon escapement.

B. Procedural Methods

For each objective listed in A above, what specific hypotheses (if any) will be tested and how? For each objective, what specific methods will be used to meet the objective? In describing the methodologies for collection and analysis: (a) identify measurements to be made and the anticipated precision and accuracy of each measurement; (b) describe the sampling equipment in a manner that permits an assessment of the anticipated raw-data quality; typical descriptions will include navigation, timekeeping, sensor make and model, net opening and mesh size, rate of retrieval, mooring configuration, and similar information appropriate to the types of samples to be collected (where the data collection equipment is well known or documented, this description may consist of identifying the system or referring to the appropriate documentation); (c) describe the analysis methodology in a manner that permits an assessment of the anticipated analyzed-data quality; typical descriptions will include filter size and type, sample preservation technique, counting method, numerical algorithm, incubation procedure and similar details as appropriate to the measurements planned; and (d) discuss the means by which the measurements to be taken could be compared with historical observations or with regions that are thought to have similar ecosystems; measurement techniques should be consistent with techniques used to collect the existing data unless there is significant scientific justification for change (when new techniques are adopted, methods for relating the new data to existing data should be developed).

If applicable, discuss alternative methodologies considered, and explain why the proposed methods were chosen. In addition, projects that will involve the lethal collection of birds or mammals must comply with the Trustee Council's policy on collections, available from the Trustee Council Office or on the web at <http://www.oilspill.state.ak.us/pdf/admin/collectionspolicy.pdf>.

A few proposals may fall into the "general restoration" category—these are projects that improve the rate of natural recovery by directly manipulating the environment, managing human uses, or reducing pollution. For general restoration projects, describe specific actions that will be taken to restore the injured resource/service. Include a description of scientific methods and data sets to be generated. If a project will supplement wild fishery stocks, the benefits and risks of the proposed supplementation effort must be described. The criteria and guidelines used by the

Trustee Council in evaluating supplementation proposals are available from the Trustee Council Office or on the web at <http://www.oilspill.state.ak.us/pdf/admin/supplpolicy.pdf>.

C. Statistical Methods

What is the statistical power of the proposed sampling program for detecting a significant change in numbers? 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 environmental measurements, what is the measurement error associated with the devices and approaches to be used?

For general restoration projects, what are the statistical procedures that will be used to test performance? What is the time over which results will be measured?

D. Description of Study Area

Where will the project be undertaken? Describe the study area, including if applicable decimally-coded latitude and longitude readings of sampling locations or the bounding coordinates of the sampling region (e.g., 60.8233, -147.1029, 60.4739, -147.7309 for the north, east, south and west bounding coordinates). The formula for converting from degree minute seconds to decimal degrees is: degrees + (minutes/60) + (seconds/3600) so $121^{\circ}8'6'' = 121. + (8/60) + (6/3600) = 121.135$

Also list communities that may be affected by the project or realize benefits from the project.

E. Coordination and Collaboration with Other Efforts

Describe the relationships and links between your project and other relevant projects in progress in the Northern Gulf of Alaska and elsewhere. Put your project into the context of other work funded by the Trustee Council, including other work funded under the GEM program. Indicate how your proposed project relates to, complements or includes collaborative efforts with other proposed or existing projects, specifically those in your watershed or coastal area. Describe any coordination that has taken or will take place (with other Council funded projects, ongoing agency operations, activities funded by other marine research entities, etc.) and what form the coordination will take (shared field sites, research platforms, sample collection, data management, equipment purchases, etc.). If the proposed project requires or includes collaboration with other agencies, organizations or scientists to accomplish the work, such arrangements should be fully explained. If the relationship with other proposals is unknown, or if your proposal is in conflict with another project, note this and explain why.

What other entities, if any, are interested in funding the type of work you are proposing? If you have submitted your proposal to other potential funders, please describe to which entity(ies) it has been submitted, when a funding decision will be made, and--in the event other funding is approved--whether or not Trustee Council funds would be needed as well.

Have you received funds in the past for this same work or work of this type? If the proposer is a state or federal agency, is the project something the agency is required to do by statute or regulation?

IV. SCHEDULE

A. Project Milestones

For each project objective listed above (III-A), when will the objective be met? Project reviewers will use this information in conjunction with annual project reports to assess whether projects are meeting their objectives and are suitable for continued funding. Please format your information like the following example.

Objective 1. Develop sediment-core chronologies in lake-productivity indicators.
To be met by September 2003

Objective 2. Compare sediment data corresponding to the past few decades to salmon population statistics.
To be met by December 2003

Objective 3. Reconstruct time-series of lake productivity, input of marine-derived nutrients, and salmon escapement.
To be met by April 2004

B. Measurable Project Tasks

Please specify, by each quarter of each fiscal year through project completion, when critical project tasks (for example, sample collection, data analysis, manuscript submittal, etc.) will be completed. This information will be the basis for the quarterly project progress reports which are submitted to the Trustee Council Office. Please format your schedule like the following example.

FY 03, 1st quarter (October 1, 2002-December 31, 2002)

November 25: Project funding approved by Trustee Council

FY 03, 2nd quarter (January 1, 2003-March 31, 2003)

January 13-17: Annual EVOS Workshop (joint symposium with GLOBEC and NMFS)

FY 03, 3rd quarter (April 1, 2003-June 30, 2003)

April 30: Core Upper Russian Lake

May 30: Core Delight Lake

FY 03, 4th quarter (July 1, 2003-September 30, 2003)

September 1: Core Hidden Lake

FY 04, 1st quarter (October 1, 2003-December 31, 2003)

December 15: Finish lab analyses of all three lakes

FY 04, 2nd quarter (January 1, 2004-March 31, 2004)
(dates not yet known) Annual EVOS Workshop

FY 04, 3rd quarter (April 1, 2004-June 30, 2004)
April 15 Submit final report (which will consist of draft manuscript for publication) to EVOS

V. RESPONSIVENESS TO KEY TRUSTEE COUNCIL STRATEGIES

A. Community Involvement and Traditional Ecological Knowledge (TEK)

Reviewers will give additional consideration to proposals that have a community involvement component and/or involve traditional ecological knowledge (TEK). Use this section to address the following questions: How will affected communities be informed about the project and be given an opportunity to provide their input? How will research findings and other project information be communicated to local communities? To what extent will local hire be used for the acquisition of such things as vessels, technicians, and equipment? To what extent will traditional and local knowledge be incorporated into the project?

If you would like assistance in developing a community involvement or traditional knowledge component for your proposal, or would like a list of community contacts throughout the spill region, contact the Trustee Council Office. Please note that in December 1996 the Trustee Council adopted protocols for including traditional knowledge in EVOS projects. See *Protocols for Including Indigenous Knowledge in the EVOS Restoration Process* available from the Trustee Council Office or on the web at <http://www.oilspill.state.ak.us/pdf/admin/protex.pdf>.)

B. Resource Management Applications

Reviewers will give additional consideration to proposals that have resource management applications. One of the goals of GEM is to “solve”, which is defined in the GEM Program Document as development of tools, technologies, and information that can help resource managers and regulators improve management of marine resources and address problems that may arise from human activities. Use this section to describe how your proposal might result in knowledge or products that would contribute to meeting this goal.

VI. PUBLICATIONS AND REPORTS

What manuscripts will be submitted on the work being proposed? 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 expects publication of project results in peer-reviewed journals as soon as scientifically appropriate and logistically possible. Toward this end, the Council will consider supporting a portion of a principal investigator's time specifically for preparation of a manuscript

for publication as well as page costs of publications. (See page 29 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 EVOS projects. (For more information, see *Procedures for the Preparation and Distribution of Reports* available from the Trustee Council Office or on the web at <http://www.oilspill.state.ak.us/pdf/admin/reportguidelines.pdf>.)

In addition to publications, annual reports are required on multi-year projects by September 1 of each fiscal year for which funding is received; final reports are required upon project completion. With approval of the Science Director, on a project-by-project basis, the publications discussed above may satisfy a portion of the report requirements. (For more information, see *Procedures for the Preparation and Distribution of Reports* available from the Trustee Council Office or on the web at <http://www.oilspill.state.ak.us/pdf/admin/reportguidelines.pdf>).

VII. PROFESSIONAL CONFERENCES

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 (see page 29 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?

VIII. PERSONNEL

A. Principal Investigator (PI)

Provide complete contact information for the proposed principal investigator(s)--name, affiliation, mailing address, phone number, fax number, e-mail address. For projects with more than one PI, identify which PI will be responsible for which project objectives and tasks.

B. Other Key Personnel

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

C. Contracts

Which components of the project will be contracted out? Describe each contract and subcontract, including which tasks will be contracted and to whom.

IX. PRINCIPAL INVESTIGATOR QUALIFICATIONS

What are the qualifications of the proposed principal investigator(s)? Provide a short form curriculum vitae or resume for all PIs and co-PIs. If applicable, please include degrees earned (with school and date), certification status, current employer, current responsibilities, a paragraph describing expertise, and up to five recent or especially relevant publications or job completions. Emphasize qualifications for the proposed work.

X. LITERATURE CITED

Include any literature citations here.

FORMAT AND CONTENT: BUDGET

This section contains instructions for preparing proposal budgets.

- Part I. Instructions for all Proposers: Pages 27-29
- Part II. Additional Instructions for Trustee Agencies: Pages 30-35
- Part III. Additional Instructions for Non-Trustee Organizations: Pages 36-40

Part I. Instructions for All Proposers

A separate budget form, which outlines probable expenditures to implement the objectives described in your proposal narrative, must be submitted for each fiscal year for which funding is being requested from the Trustee Council. Each budget form contains a comment or description field. You must use this field to explain the proposed budget.

In order to ensure wise and proper use of *Exxon Valdez* oil spill trust funds, each proposal's budget will be reviewed for consistency with the objectives contained in the proposal and for adherence to the budget instructions that follow. 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 (October 1-September 30). A separate budget form must be submitted for each fiscal year for which funding is being requested from the Council.
- **Project Number...**
For projects that received funding in FY 02, use the last three digits of the FY 02 project number preceded by "03" (for example, project 02195 would become 03195). 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.
- **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 30). 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 proposal narrative, project-specific travel, and contractual services specified in the proposal narrative. 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. You must identify in the description field on the appropriate budget forms any funds that have been included for NEPA compliance.
2. **Workshop Attendance.** All principal investigators are required to attend the Annual EVOS Workshop. In FY 03, the workshop will be a joint symposium with GLOBEC (Global Ocean Ecosystem Dynamics) and the National Marine Fisheries Services Steller Sea Lion Coordinated Investigations. The symposium will be held in Anchorage January 13-17, 2003. Unless you reside in Anchorage, include funds in your budget for travel and per diem for the PI (and co-PI, if appropriate) to attend this workshop. You must identify in the description field on the appropriate budget forms any funds that have been included for workshop attendance.
3. **Report Writing.** Annual reports are required on multi-year projects and must be submitted by September 1 of each fiscal year for which funding is received; annual reports on projects funded for FY 03 will be due September 1, 2003. Final reports are required upon project completion. You must identify in the description field on the appropriate budget forms any funds that have been included for report writing and preparation.

(For more information, see *Procedures for the Preparation and Distribution of Reports* available from the Trustee Council Office or on the Council's website at <http://www.oilspill.state.ak.us/pdf/admin/reportguidelines.pdf>.)

Many projects will also include the following direct costs:

4. **Travel.** All travel must be budgeted at round-trip economy rates. You must identify in the description field the name of the person traveling, the destination, and the purpose of the travel.
5. **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. You must identify in the description field on the appropriate budget forms any funds that have been included for manuscript preparation and publication. Include in your proposal narrative 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.
6. **Professional Conferences.** If a PI will be presenting results of his or her EVOS 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 per year for each PI (and co-PI, if appropriate). You must identify in the description field on the appropriate budget forms any funds that have been included for conference attendance. Include in your proposal narrative the name and sponsor of the conference, when and where the conference will be held, and your anticipated role in the conference.

- **Electronic Budget Forms Available...**

An electronic copy of the budget forms (created in Excel) is available from the Trustee Council Office (on an IBM disk or by e-mail) or on the Council's web site at <http://www.oilspill.state.ak.us/admin/index.html>.

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 36.

- **Trustee 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 27) incurred in implementing the restoration program. The GA rate is 9% of each project's total direct costs. The Excel budget forms automatically calculate GA.

- **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. PLEASE NOTE: Equipment items with an original per unit cost of \$5,000 or more belongs to the acquiring Trustee agency on behalf of the Council. At the end of the project, the Council's Executive Director shall determine if such equipment shall be used for another Council project or if the item shall remain with the acquiring agency. (For further information, see *EVOS Financial Procedures*, available from the Trustee Council Office or on the Council's web site at <http://www.oilspill.state.ak.us/pdf/admin/profinancial.pdf>.)

- **Budget Forms...**

Instructions for completing the budget forms follow. A separate budget form must be submitted for each fiscal year for which funding is being requested from the Trustee Council.

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. *Fiscal Year* - Enter the fiscal year this budget describes.
2. *Proposed FY Funding* - 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 Trustee Agency Totals* - Total requested by each cooperating agency for the fiscal year described in this form. Agencies must link the 3A forms.
5. *Comments* - Use this space to explain the proposed budget.
6. *Fiscal Year* - Enter the fiscal year this budget describes.
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:	Proposed FY -1-	PROPOSED TRUSTEE AGENCY TOTALS -4-					
		ADEC	ADFG	ADNR	USFS	DOI	NOAA
Personnel		[REDACTED]					
Travel							
Contractual							
Commodities							
Equipment							
Subtotal	- 2 -						
General Administration							
Project Total							
Other Funds	- 3 -						
Comments: <div style="text-align: center; margin-top: 50px;">- 5 -</div>							

Fiscal Year - 6 -	Project Number: Project Title: - 7 - Lead Agency:	FORM 2A MULTI-TRUSTEE AGENCY SUMMARY
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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. *Fiscal Year* - Enter the fiscal year this budget describes.
2. *Proposed FY Funding* - 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. *Comments* - At a minimum:
 - Describe funds from other sources that the project leverages—note the amount and source of funds and any conditions tied to the funds;
 - Identify what portion of the project cost, if any, is for NEPA compliance, Annual EVOS Workshop attendance, report writing, publications, and professional conferences.
5. *Fiscal Year* - Enter the fiscal year this budget describes.
6. *Project Identification Field* - Enter the project number, title, and your agency.
7. *Prepared* - Enter the date this budget was prepared.

Budget Category:	Proposed FY - 1 -					
Personnel						
Travel						
Contractual						
Commodities						
Equipment						
Subtotal	- 2 -					
General Administration						
Project Total						
Other Funds	- 3 -					
Comments: - 4 -						
Fiscal Year - 5 -	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.
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, if any.
7. *Personnel Sum* - 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 economy-rate ticket price.
10. *Round Trips* - Enter the number of round trips.
11. *Total Days* - Enter the total number of days in travel status.
12. *Daily Per Diem* - Enter the daily per diem rate.
13. *Travel Sum* - No input necessary. The form automatically calculates: (Ticket Price x Round Trips) + (Total Days x Daily Per Diem)
14. *Fiscal Year* - Enter the fiscal year this budget describes.
15. *Project Identification Field* - Enter the project number, title, and your agency.
16. *Prepared* - Enter the date this budget was prepared.

Personnel Costs:		GS/ Range/ Step	Months Budgeted	Monthly Costs	Overtime	Personnel Sum
Name	Position Description					
- 1 -	- 2 -	- 3 -	- 4 -	- 5 -	- 6 -	- 7 -
Subtotal						
Personnel Total						
Travel Costs:		Ticket Price	Round Trips	Total Days	Daily Per Diem	Travel Sum
Description						
- 8 -		- 9 -	- 10 -	- 11 -	- 12 -	- 13 -
Travel Total						
Fiscal Year - 14 -	Project Number: Project Title: Agency:					FORM 3B Personnel & Travel DETAIL
Prepared: - 16 -						

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 expendable supplies with an estimated life of less than one year and a unit value of less than \$1,000.

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 36-40).
2. *Contractual Sum* - Enter the proposed contractual cost.
3. *Commodities Description* - Describe what is being purchased and its purpose.
4. *Commodities Sum* - Enter the proposed commodities cost.
5. *Fiscal Year* - Enter the fiscal year this budget describes.
6. *Project Identification Field* - Enter the project number, title, and your agency.
7. *Prepared* - Enter the date this budget was prepared.

Contractual Costs:		Contract Sum
Description		
- 1 -		- 2 -
When a non-trustee organization is used, the forms 4A and 4B are required. Contractual Total		
Commodities Costs:		Commod. Sum
Description		
- 3 -		- 4 -
Commodities Total		
Fiscal Year - 5 -	Project Number: Project Title: - 6 - Lead Agency:	FORM 3B Contractual & Commodities DETAIL
Prepared: - 7 -		

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-expendable items having an estimated life of more than one year and a unit value greater than \$1,000. 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.
4. *Unit Price* - Enter the unit price.
5. *Equipment Sum* - 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.
8. *Inventory Agency* - Enter the agency which currently has the equipment on inventory.
9. *Fiscal Year* - Enter the fiscal year this budget describes.
10. *Project Identification Field* - Enter the project number, title, and your agency.
11. *Prepared* - Enter the date this budget was prepared.

New Equipment Purchases:		Number of Units	Unit Price	Equip. Sum
Description				
- 1 -	- 2 -	- 3 -	- 4 -	- 5 -
Indicate replacement equipment purchases with an R.		New Equipment Total		
Existing Equipment Usage:		Number of Units	Inventory Agency	
Description				
- 6 -		- 7 -	- 8 -	
Fiscal Year	Project Number:	FORM 3B Equipment DETAIL		
9 -	Project Title:			
	Agency:			
Prepared: - 11 -				

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.

- **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.

- **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 Trustee Council-funded 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...**

Equipment previously purchased by the Trustee Council should be used to the maximum extent possible. Before requesting funds for new equipment, contact the project manager at your Lead Trustee Agency to determine if suitable equipment is already available. PLEASE NOTE: All equipment purchased remains the property of the Lead Trustee Agency until the end of the project, at which time the agency may, under certain circumstances, transfer the equipment title to the contractor. If the original per unit cost of the equipment was \$5,000 or more, the Council's Executive Director has the authority to direct that the equipment be transferred to another Council-funded project, rather than remaining with the Lead Trustee Agency or being transferred to a contractor.

- **Budget Forms...**

Instructions for completing the individual budget forms follow. A separate budget form must be submitted for each fiscal year for which funding is being requested from the Trustee Council.

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. *Fiscal Year* - Enter the fiscal year this budget describes.
2. *Proposed Funding* - No input required. All information is linked to the Detail forms.
3. *Indirect* - Enter the proposed indirect project costs. Specify and explain the indirect rate in the comments field.
4. *Other Funds* - Enter any funds from other sources that the project leverages.
5. *Comments* - At a minimum:
 - Describe funds from other sources that the project leverages—note the amount and source of funds and any conditions tied to the funds;
 - 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, and professional conferences.
6. *Fiscal Year* - Enter the fiscal year this budget describes.
7. *Project Identification Field* - Enter the project number, title, and your organization.
8. *Prepared* - Enter the date this budget was prepared.

Budget Category:	Proposed FY - 1 -									
Personnel										
Travel										
Contractual										
Commodities	- 2 -									
Equipment										
Subtotal										
Indirect	- 3 -									
Project Total										
Other Funds	- 4 -									
Comments: <div style="text-align: center; margin-top: 10px;">- 5 -</div>										
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%; text-align: center; vertical-align: middle;"> <div style="border: 1px solid black; padding: 5px; margin: 0 auto; width: 80%;"> Fiscal Year - 6 - </div> </td> <td style="width: 40%; text-align: center; vertical-align: middle;"> <div style="border: 1px solid black; padding: 5px; margin: 0 auto; width: 90%;"> Project Number: Project Title: - 7 - Name: </div> </td> <td style="width: 30%; text-align: center; vertical-align: middle;"> <div style="border: 1px solid black; padding: 5px; margin: 0 auto; width: 80%;"> FORM 4A NON-TRUSTEE SUMMARY </div> </td> </tr> </table>								<div style="border: 1px solid black; padding: 5px; margin: 0 auto; width: 80%;"> Fiscal Year - 6 - </div>	<div style="border: 1px solid black; padding: 5px; margin: 0 auto; width: 90%;"> Project Number: Project Title: - 7 - Name: </div>	<div style="border: 1px solid black; padding: 5px; margin: 0 auto; width: 80%;"> FORM 4A NON-TRUSTEE SUMMARY </div>
<div style="border: 1px solid black; padding: 5px; margin: 0 auto; width: 80%;"> Fiscal Year - 6 - </div>	<div style="border: 1px solid black; padding: 5px; margin: 0 auto; width: 90%;"> Project Number: Project Title: - 7 - Name: </div>	<div style="border: 1px solid black; padding: 5px; margin: 0 auto; width: 80%;"> FORM 4A NON-TRUSTEE SUMMARY </div>								
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.
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, if any.
6. *Personnel Sum* - 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.
10. *Total Days* - Enter the total number of days in travel status.
11. *Daily Per Diem* - Enter the daily per diem rate.
12. *Travel Sum* - No input necessary. The form automatically calculates: (Ticket Price x Round Trips) + (Total Days x Daily Per Diem)
13. *Fiscal Year* - Enter the fiscal year this budget describes.
14. *Project Identification Field* - Enter project number, title, and your organization.
15. *Prepared* - Enter the date this budget was prepared.

Personnel Costs:				Months Budgeted	Monthly Costs	Overtime	Personnel Sum
Name	Position Description						
- 1 -	- 2 -			- 3 -	- 4 -	- 5 -	- 6 -
Subtotal				0.0	0.0	0.0	
Personnel Total							
Travel Costs:			Ticket Price	Round Trips	Total Days	Daily Per Diem	Travel Sum
Description							
- 7 -			- 8 -	- 9 -	- 10 -	- 11 -	- 12 -
Travel Total							
Fiscal Year -13-		Project Number: Project Title: - 14 - Name:				FORM 4B Personnel & Travel DETAIL	
Prepared: -15-							

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 expendable supplies with an estimated life of less than one year and a unit value of less than \$1,000.

How to Complete the Form...

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

Contractual Costs:		Contract Sum
Description		
- 1 -		- 2 -
Contractual Total		
Commodities Costs:		Commodity Sum
Description		
- 3 -		- 4 -
Commodities Total		
Fiscal Year - 5 -	Project Number:	FORM 4B Contractual & Commodities DETAIL
	Project Title: - 6 -	
Prepared: - 7 -	Name:	

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-expendable items having an estimated life of more than one year and a unit value greater than \$1,000. All equipment purchased remains the property of the Lead Trustee Agency until the end of the project, at which time a determination will be made on possibly transferring the equipment to the contractor.

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.
4. *Unit Price* - Enter the unit price.
5. *Equipment Sum* - 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.
8. *Fiscal Year* - Enter the fiscal year this budget describes.
9. *Project Identification Field* - Enter project number, title, and your organization.
10. *Prepared* - Enter the date this budget was prepared.

New Equipment Purchases:		Number of Units	Unit Price	Equip. Sum
Description				
- 1 -	- 2 -	- 3 -	- 4 -	- 5 -
Indicate replacement equipment purchases with an R.		New Equipment Total		
Existing Equipment Usage:		Number of Units		
Description				
- 6 -		- 7 -		
Fiscal Year - 8 -		Project Number: Project Title: - 9 - Name:		FORM 4B Equipment DETAIL
Prepared: - 10 -				

ATTACHMENT A
Signature Form

THIS FORM MUST BE SIGNED BY THE PROPOSED PRINCIPAL INVESTIGATOR AND SUBMITTED ALONG WITH YOUR PROPOSAL. If the proposal has more than one investigator, this form must be signed by at least one of the investigators, and that investigator will ensure that Trustee Council requirements are followed. Proposals will not be reviewed until this signed form is received by the Trustee Council Office.

By submission of this proposal, I agree to abide by the Trustee Council's data policy (*Trustee Council/GEM Data Policy**, adopted July 9, 2002) and reporting requirements (*Procedures for the Preparation and Distribution of Reports**, adopted July 9, 2002).

Signature of PI

Date

Signature of co-PI

Date

Signature of co-PI

Date

* These documents are available on the web at www.oilspill.state.ak.us or upon request from the Trustee Council Office.