



FY 2021 Funding Opportunity

Prospective Investigators are encouraged to contact AK CASC Director Steve Gray (sgray@usgs.gov) to schedule participation in an informational/Q&A session prior to SOI submission. Sessions will be held as needed starting September 22.

Overview:

The Alaska Climate Adaptation Science Center (AK CASC) invites proposals for projects to be initiated in Federal Fiscal Year (FY) 2021.

Eligible Applicants:

Scientists and scholars affiliated with the University of Alaska System (aka, AK CASC University Host) or USGS centers, field stations, and laboratories may submit proposals in response to this Funding Opportunity. Partnerships between University Host scientists and USGS researchers are encouraged. Each proposal must have a Principal Investigator (PI) from an AK CASC University Host institution or from the USGS. Parties from non-eligible organizations can collaborate with eligible organizations and receive funds via subaward. Please direct any questions about eligibility to AK CASC Director Steve Gray (sgray@usgs.gov).

Prospective PIs are strongly advised to seek out, establish, and clearly describe working partnerships with local and/or regional stakeholders from organizations concerned with management of natural resources. These relationships should be well-established prior to the submission of the proposal, and their iterative nature should be noted throughout the proposal. These organizations may include agencies within the Department of the Interior, other federal agencies, state agencies, indigenous communities, and private or non-governmental entities. Proposals that do not demonstrate clear engagement with stakeholders will be unsuccessful.

Prospective principal investigators from University Host institutions may wish to discuss proposal ideas and logistics with University of Alaska-Fairbanks CASC Director Scott Rupp (tsrupp@alaska.edu). **If invited, all full proposals initiated through University Host institutions must be submitted through the appropriate University of Alaska-Fairbanks program office.**

Funding Stream:

All funds will be transferred from the AKCASC to either a USGS entity or the University of Alaska-Fairbanks. These entities will then provide subawards to other AK CASC University Host institutions or other parties. *It is important to consider overhead costs associated with transferring funds when constructing the proposal budget.*

Estimated Available Funds:

Approximately \$1,200,000 may be available to fund FY21-start projects that support AK CASC research priorities. *Final funding amount is subject to the availability of funds.*

Project Funding Guidance:

The AK CASC expects to initiate 5-10 new projects with FY21 funds. In general, total requested funding for individual projects should not exceed \$200,000 (including FY21 and all proposed project years). Exceptions to this funding cap may be considered in limited circumstances and with prior approval from AK CASC Director Steve Gray (sgray@usgs.gov). The AK CASC will accept proposals for projects that span up to 36 months total, however out-year activities may be subject to annual approval and, in certain cases, availability of funds.

Schedule for Submission, Review, Awards

To be considered for this FY 2021 Funding Opportunity, materials must be received by 12 pm (noon) Alaska time on the dates noted below; late proposals will not be considered. Please DO NOT wait until the submission due date to login for the first time.

Statement of Interest Due:	2 October, 2020
Invitation to Submit Full Proposals:	16 October, 2020
Deadline for Full Proposals:	24 November, 2020
Applicants notified of Intent to Award* :	23 December, 2020

“Intent to Award” means the AK CASC recommends the project for funding, pending completion of all administrative reviews, approvals, and processing to complete formal awards. This date may change, subject to U.S. Department of the Interior and U.S. Geological Survey review and approval timelines.

AK CASC Federal Contact:

Steve Gray, Director
USGS Alaska Climate Adaptation Science Center
4210 University Dr, Anchorage, AK 99508

Office: 907-301-7830
Email: sgray@usgs.gov

AK CASC University Host Contact:

Scott Rupp, Director
University of Alaska Fairbanks
PO Box 757245, Fairbanks, Alaska 99775
Office: 907-474-7535
Email: tsrupp@alaska.edu

Submission Portal:

All Statements of Interest should be submitted to the CASC RFPManager Portal
https://sciencebase.usgs.gov/rfp/#/10166/Alaska_CASC_2021_Funding_Opportunity

Please login to RFPManager at least 24 hours before you are ready to submit your application. New users will need to go through an account approval process that can experience lag times up to 24 hours. Existing users should also login early and can reset their password if needed. Please DO NOT wait until the submission due date to login for the first time. Submission deadlines will not be extended due to last minute login delays.

Please refer to the RFPManager Help Site for additional help with the system:
<https://www.sciencebase.gov/catalog/item/5f46831182ce4c3d1225502f>.
Please send technical questions to casc@usgs.gov.

For invited full proposals:

“Accepted” Statements of Interest will receive an email notification inviting submission of a full proposal. Full Proposals (including a completed budget and Data Management Plan) should also be submitted to the CASC RFPManager Portal via the link above (after clicking the link, click “Continue an Application” to login). Additional guidance can be found in the help documents referred to above.

Background

The U.S. Department of the Interior (DOI) established the Alaska Climate Adaptation Science Center (AK CASC) in 2010 to address challenges presented by climate change and variability in the Alaska region (<http://https://akcasc.org/>). The AK CASC’s mission is to provide essential scientific knowledge and science-informed tools to benefit resource managers and other partners interested in climate change adaptation, planning, and management of natural and cultural resources.

In keeping with its mission, the AK CASC identifies research priorities tied closely to the needs of natural and cultural resource managers in the Alaska region. Proposals developed in response to this RFP should focus on developing “actionable science” or knowledge that can inform or be applied to specific management challenges, either locally or broadly across Alaska. Proposals should address one or more of the AK CASC Research Priorities identified below, and outline a clear plan to iteratively develop scientific/management questions, collect information, and create science-based knowledge and products. This work must be done in collaboration with stakeholders, and ultimately used to inform climate adaptation, planning, and management. Information on previously funded projects can be found at: <https://akcasc.org/projects-overview/>.

AK CASC Research Priorities:

For FY 2021 Funding Opportunity, the AK CASC identifies four research priorities as outlined below.

Priority 1: The AK CASC seeks proposals that enhance or expand our capacity to support climate adaptation efforts led by our Tribal partners and in Alaska Native communities more broadly. In particular we welcome proposals that leverage previous or ongoing work related to fish and wildlife habitat dynamics in order to address issues related to subsistence resources and/or aspects of community health, sustainability, and resilience related to subsistence activities. Similarly we encourage proposals that would apply research aimed at characterizing and/or predicting climate variability and change to natural resource management challenges tied to Alaska Native communities. We anticipate that successful proposals will provide one or more of the following:

- Development of AK CASC products and services focused on the climate adaptation needs of Tribes, communities, and other Alaska Native entities.
- Support for Alaska Native-led research and/or direct participation in research.
- Support for citizen science activities in Alaska Native communities.
- Enhanced two-way communication, outreach, and engagement capacity in Alaska Native communities.
- Technical and/or logistical support for research linked to Alaska Native communities.
- Add additional value to work originally funded under the TESNAR, SISNAR, and BIA Tribal Resilience programs.

Priority 2: The AK CASC seeks proposals that examine the influence of climate variability and change on cryosphere hazards, along with their accompanying impacts on fish and wildlife habitat, access to resources, and public safety. We anticipate that successful proposals will become part of a larger portfolio of AK CASC activities aimed at understanding linkages among climate, cryosphere change, and natural resource management and

adaptation. In particular we welcome proposals related to thermokarst events, mass-wasting processes, glacier retreat (including glacial lake outburst floods), and snow avalanches. Proposals related to sea, lake, and/or river ice (including aufeis) may be specifically targeted in subsequent calls, but will be given lower funding priority at this time.

Priority 3: The AK CASC welcomes proposals that address new, emerging, or rapidly evolving climate impacts on Alaska's coastal habitats. Proposals should focus on characterizing connections between these impacts and climate, including historical, contemporary and projected conditions. We anticipate that successful proposals will also contribute to prediction of future impacts. Projects that explore potential solutions to related challenges are especially encouraged, as are projects that address issues not considered in previously funded AK CASC work (see: <https://akcasc.org/projects-overview/>). Note that proposal review and selection will be conducted in cooperation with Alaska Sea Grant (<https://alaskaseagrant.org/>) as part of a larger effort to enhance regional coordination on coastal issues.

Priority 4: The AK CASC seeks proposals that address climate impacts on infrastructure, public safety, visitor experience, and access challenges in the National Parks and Preserves of the Alaska region. In particular we encourage proposals that promote the incorporation of climate-related information into decision making and planning related to access and infrastructure issues, and/or that can be used to inform subsequent vulnerability assessment activities focused on access to public lands for subsistence and recreation, public safety, visitor experience, etc. Proposals that leverage previous AK CASC-supported work aimed at projecting future climates or characterizing potential landscape change (see: <https://akcasc.org/projects-overview/>) are especially encouraged, as are proposals that also address elements of science priority #2 described above. Strong preference will be given to proposals with a clearly articulated plan for co-producing the proposed work with NPS units or NPS I&M programs. In the absence of direct co-production, collaborative approaches that involve NPS regional or relevant national-level NPS programs (e.g., Park Planning, Facilities, and Lands; Climate Change Response Program) are also acceptable. Note that proposal review and selection will be conducted in cooperation with NPS personnel from park units, the Alaska Regional Office, or national-level programs as part of a larger effort to enhance interagency cooperation on climate adaptation issues.

Application Process

Proposals that do not adhere to these guidelines will not be considered for funding.

Submission of Statements of Interest.

All parties interested in responding to this Funding Opportunity must submit a Statement of Interest (SOI), **not to exceed 2 pages**, using the provided guidance and template in **Appendix A**.

SOIs must be received by noon, 12 pm Alaska time on 2 October, 2020. The applicant will receive a confirmation email once the SOI has been received.

All Statements of Interest should be submitted to the CASC RFPManager Portal:

https://sciencebase.usgs.gov/rfp/#/10166/Alaska_CASC_2021_Funding_Opportunity

Please login to RFPManager at least 24 hours before you are ready to submit your application. New users will need to go through an account approval process that can be subject to lag times of up to 24 hours. Existing users should also login early and reset their password if needed. Please DO NOT wait until the submission due date to login for the first time. **Submission deadlines will not be extended due to last minute login delays.**

Please refer to the RFPManager Help Site for additional help with the system: <https://www.sciencebase.gov/catalog/item/5f46831182ce4c3d1225502f>

Please direct technical questions to casc@usgs.gov. Please note technical assistance with RFPManager is largely drawn from persons located in the Mountain time zone.

Statement of Interest Review Criteria.

Statements of Interest will be ranked and evaluated according to the following criteria. Applicants may be contacted to provide additional or clarifying information during the review process:

- **Applicability to one or more AK CASC Research Priorities (30%):** The SOI clearly demonstrates proposed project's applicability to addressing one or more AK CASC Research Priorities and articulates the resource management decisions it addresses relevant to natural and/or cultural resource management capacity for climate change adaptation. In doing so, the project directly addresses management decisions or questions important to bureaus within the U.S. Department of the Interior, but may also include inter-related concerns of other Federal agencies, State agencies, and private or non-governmental entities.
- **Engagement of stakeholders, resource managers, decision makers, and other research entities (30%):** The SOI clearly identifies active engagement with stakeholders in project planning and throughout the lifecycle of the project (e.g., Early and frequent inclusion of managers or cultural stewards on study teams, periodic meetings with stakeholders, creation of practitioner advisory teams, etc.). Proposal details how team will generate actionable science, which is to say, relevant and useable resource management-relevant information and products for consideration by natural or cultural resource managers. Where possible, collaboration with stakeholders/partners should build upon existing work

and capacity and investigators should leverage additional partner resources to carry out the proposed project. While it is useful to reflect on lessons learned in previous collaborations, or to augment ongoing collaborations, explorations of new partnerships are also encouraged.

- **Scientific merit and quality of the research (30%):** The project objectives described in the SOI should be robust and clearly delineated. While the SOI is a concise document, it should demonstrate sound scientific methodology, study design, and data management. The SOI should also indicate how results have application to management decisions, make a significant contribution to climate change adaptation science, and enhance scientific inference.
- **Additional SOI Evaluation Considerations (10%):**
 - **Increasing Regional Science/Management Capacity:** Projects are encouraged to clearly demonstrate how they anticipate increasing regional scientific and/or management capacity.
 - **Leveraging of science needs, funds, and collaboration:** Matching funds are not required, but projects are encouraged to provide matching funds or leverage funding sources from Federal, State, Indigenous, other governments, or other organizations. Funding-duplication concerns must be addressed.
 - **Past performance, if applicable.** Individuals or institutions with a history of non-compliance with USGS project-funding requirements may be eliminated from further consideration until the issues are satisfactorily addressed.
 - **Potential broader collaboration, increasing scope:** Project establishes collaborations beyond local scales and leverages expertise across CASCs, and other regional or national organizations to help synthesize implications of climate impact challenges and their potential solutions. Projects may build upon existing work and capacity or complement/leverage related climate adaptation research underway in Alaska and/or other CASC regions across the United States. In all cases, engaging with resource managers from DOI bureaus (e.g., National Park Service, US Fish and Wildlife Service, Office of Insular Affairs) or State natural resources agencies is highly encouraged.

Request for and Submission of Full Proposal.

Selected applicants will be invited to develop full proposals (including a budget and data management plan). LOIs which do not receive such an invitation to submit a full proposal will not be considered for funding within this RFP cycle. Proposal format information and template can be found in **Appendix B. The full proposal must be submitted via RFPManager:**

https://sciencebase.usgs.gov/rfp/#/10166/Alaska_CASC_2021_Funding_Opportunity

Evaluation of Full Proposals.

The Director of the AK CASC will assemble a Scientific Review Team (SRT) to assist in the evaluation of invited proposal submissions. With advice from the SRT, the Director will review and rank proposals according to the criteria described below.

- **Relevance and applicability to resource management needs (25%):** Projects should be applicable to immediate, real-world planning and decision-making needs as identified by resource management agencies and related organizations. Projects with anticipated transferability are encouraged. Proposals should include a clear description of the resource management needs and explain how the research and scientific outcomes will directly inform decisions or management actions related to adaptation of land, water, fish and wildlife, or cultural heritage resources. The project should directly address one or more of the high priority science needs identified above.
- **Engagement of and coordination with stakeholders, decision-makers, and science beneficiaries (25%):** Intended users of the project's scientific output (i.e., resource managers, decision makers) should be

adequately engaged *in the planning and lifecycle* of the proposed project. Proposals must provide the name, organization/agency, and roles of each resource manager with whom the researcher(s) will engage. Engaging with DOI management bureaus, such as, but not limited to, US Fish and Wildlife Service, Bureau of Land Management, and National Park Service, is strongly encouraged. The proposal should describe outreach and communication strategies for engaging with these partners and effectively delivering products, including information on how scientific findings will be presented (e.g., interactive maps, data visualizations etc.). The project team should demonstrate capacity to engage resource managers and decision makers during every phase of the project, and a commitment, where appropriate, to continuing these relationships beyond the funded project's duration. Where possible, collaborations should build upon existing work and investigators should utilize existing information and data resources and/or leverage additional partner resources to carry out the proposed project. While it is useful to reflect on lessons learned in previous collaborations, or to augment ongoing collaborations, explorations of new partnerships are also encouraged.

- **Scientific merit and quality of the proposed research (25%):** Projects should use a credible scientific approach that reflects the current state of the science, has project objectives, overall strategy, study design, methodology, and analyses that are well-reasoned, robust and appropriate to the specific scientific objectives of the project. The proposal should include a credible data management plan, clearly articulate the desired outcomes, and indicate the type of data to be collected and any special data service needs. Project results should have a broad geographic application or scientific inference.
- **Study team qualifications (15%):** The Principal Investigator(s) and proposing team should have training, skills, and knowledge necessary to conduct a complex science project and to achieve the project goals. The proposal should demonstrate a commitment for end-to-end participation from an interdisciplinary, inclusive team (including, where appropriate, resource managers, decision makers, and scientists from the necessary disciplines). Where possible, the proposed team should demonstrate evidence of successfully completing similar work in the past. The AK CASC will also evaluate the integration, leadership, governance, and organizational approach articulated in the proposal. Collaborative projects should include clear delineation of project responsibilities for each team member. Developing diverse, inclusive teams is encouraged.
- **Budget and work plan (10%):** The project budget and work plan will be evaluated on the proposed level of work, expected benefits, complexity and/or scope of effort, and practicality and achievability of the proposed project. Work plans should include a detailed schedule of milestones, workshops, or meetings needed to engage key stakeholders and specific plans for communicating the process and outcomes to the science users (e.g., decision makers and resource managers). Where possible, projects should build upon or complement existing work and capacity and/or coordinate funding with collaborating partners and leverage additional resources to carry out the proposed project.

Review and Selection Process for Full Proposals.

Project proposals will be reviewed and selected as follows:

- Submissions will be screened upon receipt for eligibility and for conformance to the announcement provisions.
- Screened proposals will be reviewed against the evaluation criteria by a group of individuals with relevant technical expertise, as selected by the AK CASC Director. Confidential information will be restricted to these reviewers, and they will be bound by confidentiality assurances. Further, reviewers will follow standard conflict of interest approaches and will be excused from ranking proposals with which they are associated. The constituent members of the review team will be held anonymous; general information on agency or other representation may be shared.
- Reviewer rankings and comments will be provided to the AK CASC Director. The AK CASC Director will develop a final list of candidate projects, based on the review rankings, modified as appropriate to ensure an overall portfolio of science activities at the AK CASC that is balanced with respect to the following: geographic distribution, project cost and duration, applicant type (USGS or Host Institution),

subject matter and focus, need for scientific continuity versus establishing new work, funds management, and related factors. Summaries of reviewer comments and feedback may be released to lead proposers at the discretion of the AK CASC Director.

- The AK CASC Director will review all proposed CASC projects to identify opportunities for cross-CASC and cross-agency leveraging opportunities. As noted, this may involve consultations with the applicant and proposal revision.
- Selected applicants will be initially notified of USGS intent to award. This is an informal notification, provided to applicants as a courtesy. Final awards to AK CASC Host Institutions are contingent upon all appropriate legal and administrative reviews and processing through the USGS Office of Acquisition and Grants (OAG). Final discretion on funding decisions for specific projects remains with the PI CASC Director.

If your proposal is selected to receive funds/award:

HOST INSTITUTION PROPOSALS: you will be contacted by the USGS Office of Acquisition and Grants and asked to submit the official final application through Grants.gov. Submittal of the Grants.gov application shall be coordinated with the University of Alaska-Fairbanks Office of Grants and Contracts Administration. This office shall serve as the official point of contact for the USGS Grants Officer.

USGS PROPOSALS: funds will be transferred to your Center/Program/Unit via USGS Change of Allocation Procedures. Project activities should not be initiated prior to receipt of funding by your organizational unit.

Additional Information:

- **Data Management:** All proposals must include a credible Data Management Plan (DMP) and comply with NCASC requirements regarding data management, as specified in the CASC Science Data Sharing Policy found at <https://www.usgs.gov/ecosystems/climate-adaptation-science-centers/data-policy-and-guidance>. USGS policies concerning data management and public access should be followed. DMPs will be fully reviewed during the proposal evaluation stage by the Data Steward.
- **Multi-year Funding** (relevant especially to USGS proposers): To address issues related to carry-over of federal funds between fiscal years, and to deal with the fact that this solicitation can only provide funds for the first fiscal year of the project, the AK CASC will work with successful applicants to plan funding for multi-year projects in the fiscal years needed by the project, within the uncertainty about out-year funding.
- **Annual and Final Project Reports:** In addition to the Federal Financial Report required for external agreement administration, Form SF-425, all funded projects are required to submit annual progress reports and a final project report according to the formats that will be provided. Annual progress reports are due sixty (60) days prior to the end of the budget period, and final reports are due ninety (90) days after the project completion date.
- **Manuscripts Intended for Publication:** All funded researchers are required to provide advanced notification to the AK CASC Director of all anticipated manuscripts intended for publication that have been produced through the CASC-funded project (or where staff received funding through a CASC graduate fellowship). All manuscripts should also include appropriate funding acknowledgements. Acknowledgements for funding support from the AK CASC should follow the guidelines that will be provided with any award.
- **CASC Communications Guidelines:** Communications products developed by the AK CASC for projects or initiatives funded through the U.S. Geological Survey are required to follow a set of Communications Guidelines, developed by the USGS National Climate Adaptation Science Center. The guidelines include information on the use of USGS and DOI logos, funding acknowledgements for products, publications and press releases, and the use of images for USGS products. The guidelines can be found at: <https://www.sciencebase.gov/catalog/item/5f5fb12482ce3550e3bff2d7>
- **Images:** Images are an important means for promoting and communicating about our work. A good photo, video, or infographic can entice people (like a stakeholder or a congressional representative) to read more about your work. PIs chosen for funding by AK CASC are strongly encouraged to provide images of their study area or subject and field work for use on public websites and in outreach materials. Non-federal photographers will be asked to sign a photo permission form. Please contact casc@usgs.gov to submit photos or obtain the permissions form.

Appendix A

FORMAT and GUIDELINES for STATEMENTS OF INTEREST

Funding Opportunities from the Pacific Islands Climate Adaptation Science Center

Statements of Interest (SOIs) must be submitted via RFPManager. **Deadline for SOI submission is noon, 12:00 PM AKDT, October 2, 2020.** Late proposals and those with significant departure from the format requested will not be considered.

Statement of Interest Structure (*see additional guidance below for each item*):

Section 1: Project Administration Information (1/4 page)

Section 2: Partnerships & Communication (1/2 page)

Section 3: Project Summary (1 page)

Section 4: Actionable Science Outcome (1/4 page)

Section 5: Estimated Budget Table (1/4 page)

Two page maximum for Sections 1 through 4, written in a standard font at 11 point or larger and one-inch margins. With the exception of information related to Section 5, content beyond 2 pages will not be reviewed. Section 5 (Estimated Budget Table) does not count towards the two page limit.

SECTION 1: PROJECT ADMINISTRATIVE INFORMATION (1/4 page)

- Project title: should be written for a non-technical, non-scientific audience. A good title is straight forward, avoids scientific jargon, is compelling, and easy to understand.
- Primary AK CASC Research Priority Stream (list secondary, tertiary, if appropriate)
- Short description (generally one sentence)
- Name of Lead Agency/Institution/Organization requesting funding
- Project Lead Contact or Principal Investigator
- Mailing Address
- Telephone, Fax, and E-mail

SECTION 2: PARTNERSHIPS & COMMUNICATION (1/2 page)

- Description of collaborative partnerships involved in this project.
- List of additional investigators & affiliations involved in project.
- Description of links to the strategic science needs of communities and or natural and cultural resource managers.

SECTION 3: PROJECT SUMMARY (1 page)

Please provide a brief narrative summary of the project based on the needs and evaluation criteria described earlier in this document.

SECTION 4: ACTIONABLE SCIENCE OUTCOME (1/4 page)

- Description of actionable outcomes, how and who will use the outcomes/products, with a particular emphasis on natural and resource cultural managers. Consideration of cross-sectoral implications is welcome.
- Description of how the products will be delivered, how they will be updated, maintained, etc., and how they might interface with current knowledge and products.
- Detail opportunities provided to young researchers and managers, post-doctoral researchers, early career scientists and managers, and/or other means of expanding applicability, enhancing regional resilience, building capacity, etc.

SECTION 5: ESTIMATED BUDGET (1/4 page)

Provide an estimated budget, including relevant indirect costs (including pass through costs, if any). Use the following format for an estimated budget table, and include it as the last page in the SOI PDF document :

Institution Name	Budget Year 1	Budget Year 2	Total
Institution 1			
Institution 2			
Institution 3			
Institution 4			
ADD ADDITIONAL LINES AS NEEDED			
Total			

“Budget Year” cells should be populated with annual budgets for each partnership institution, for each year of the proposed project’s duration.

Appendix B

FORMAT and GUIDELINES for INVITED FULL PROPOSALS

Funding Opportunities from the Pacific Islands Climate Adaptation Science Center

Initial **Invited** Full Proposals must be submitted through RFPManager. *If selected for funding*, official final proposals

- **from Host Institution investigators** will be submitted via Grants.gov after formal request from USGS.
- **from USGS investigators** will be submitted again via RFPManager ONLY if there have been significant changes to the budget or work program from the initial full proposal.

Proposal Structure:

Proposers must submit three separate items (*see additional guidance below for each item*):

1. **Proposal body** - single PDF document with:
 - A. Proposal cover page and project summary (max. 1 page)
 - B. Plain Language Public Summary (not to exceed 300 words; submitted on a separate page and in RFPManager)
 - C. Proposal body (max. 7 pages)
 - D. Budget justification (max. 2 pages)
 - E. Curriculum vitae (max. 2 pages per investigator)
 - F. Literature cited (no page limit)
 - G. Letters of support (optional, as needed)
2. **Budget form** using the Excel template available in RFPManager
3. **Data Management Plan** submitted via a web-form in RFPManager

Proposals with involvement from multiple institutions should be submitted as a single proposal into RFPManager.

In addition to submitting the three proposal items listed above, please also complete any questions that appear within RFPManager. Please follow instructions within the system and below.

1. Proposal Body

SINGLE PDF DOCUMENT WITH:

A. Proposal Cover Page and Project Summary (max. 1 page). Include the following information:

Project title: Brief but descriptive title of proposed project.

- * Note: Project titles should be written for a non-technical, non-scientific audience (straight forward, avoids scientific jargon, compelling, and easy to understand).

Principal investigator (PI): List the name of the Principal Investigator. All communications and notifications will be directed to this individual and to the Fiscal Contact (see below). Other participants should be listed below.

Phone number of PI:

Email of PI:

If USGS PI, include Name and number of PI's cost center:

Project Contacts:

- *Host Institution Proposals:* provide **name, title, and email** of the UAF Office of Sponsored Programs contact -- the individual who can legally bind the University. All contractual and fiscal communications and notifications will be directed to this individual.
- *USGS Proposals:* provide **name, title, and email** of the person in your Center/program who handles changes of allocation.

Names/Affiliations of other cooperators and partners (no contact information required):

Proposed start date and estimated duration of project period (e.g., Start Date: 1 June 2021, 24 months):

Please note that official project start date is determined by the effective date specified in the Grant or Cooperative Agreement Award executed by the USGS Contracting Officer (for Host Institution Proposals) or the date of the Change of Allocation (for USGS Proposals). Researchers should not start work on a project until the Award document (for University Consortium proposals, through FedConnect) or Change of Allocation (USGS) has been received by the recipient institution.

Note for planning purposes: Official start dates are determined by the date of funding.

Total project funding requested from AK CASC:

Funding from other sources to be applied to this project: List additional funding sources.

Keywords: (list three *general* keywords that best characterize the proposed project; it is unnecessary to include variations of climate, climate change, climate adaptation, or management as keywords).

Project Summary: The project summary should provide a synopsis of the overall proposal. Key sections from the full proposal that *must* be summarized are: (1) Objectives/Justification, (2) Background, (3) Procedures/Methods, (4) Expected Products and Information/Technology Transfer, and (5) Personnel/Cooperators/Partners. The project summary should be included in the proposal PDF and should also be submitted separately in RFPManager. *NOTE: this summary does not replace the required "plain language public summary" as described below.*

B. Plain Language Public Summary (max. 300 words)

The Plain Language Public Summary should provide a synopsis of the overall project, and should be suitable for sharing on public websites and through other outreach methods and should include these main elements:

- Why is the project important and interesting to stakeholders (including Congress!), the public, and society? What is the value of this work and why should society care about this project?
- Why is the project timely and needed now? Who needs the results from this work and why?
- What are the main goals of the project? What will be accomplished? What will be the primary outcomes?
- How will the results of the project improve aspects of climate change management, well-being, economic or other issues that resonate with stakeholders?

The Plain Language Public Summary should be submitted on a separate page within the proposal PDF document and should also be submitted separately in RFPManager. This summary should not exceed 300 words. Write the summaries in a way that is compelling, non-technical, and understandable to a non-scientist.

C. Proposal Body (max. 7 pages)

Note: The proposal body must be limited to seven pages, single-spaced with one-inch margins and 12-point font, and formatted for standard 8.5x11-inch paper.

Objectives/Justification: Explain the objective of the proposed project (or need for continuation of existing project). Describe the significance and priority of the issue to be addressed and explain how the project relates to that issue. Identify instances in which the issue or question has been cited as a national or regional conservation priority; Alternatively, present justification for why the proposed challenge has been neglected or overlooked.

Background: Describe the scientific or technical issues that underlie the proposed activity, including available relevant findings, related ongoing activities, problems to be addressed, and scientific value of anticipated results. The results of related projects supported by other funders should be described, including their relation to the currently proposed work.

Procedures/Methods: Describe the procedures and methods to be followed in sufficient detail to permit evaluation by peer reviewers of likely success. If applicable, the following topics should be addressed: hypotheses to be tested; modeling approach to be used; model validation procedures; acceptance and rejection criteria; statistical analysis approaches; other methods used in research efforts, sampling, or surveying. If standard methods are used, a reference for the methods is sufficient.

Geographic Scope: Please describe the scope of the project. When appropriate, provide temporal scope as well.

Expected Results and Products: Describe expected products to be generated from the project (e.g., models, data sets, associated products and metadata, written reports, scientific publications, maps, software, etc.). Specifically identify products to be developed within a period of one to two years and key milestones for producing those products.

Technology/Information Transfer: Identify intended users of project results or products and describe how results or products will be made available for application by clients and customers (e.g., DOI resource- and land- management agencies, other federal agencies, tribes, state and local governments, universities, and non- government organizations). Describe plans for digital integration and dissemination of data and products resulting from the project.

Documentation of Management Application / Relevance: Describe how resource managers were involved during proposal development and how this iteration will continue throughout the project to ensure project deliverables will respond to management information needs in the Pacific Islands. Describe how the project approach will ensure that expected products meet the needs of resource managers, including DOI bureaus, Hawai'i, USAPI government agencies, and others. Describe the interactions between investigators and the intended users of the scientific output of the project.

Cooperators/Partners: Indicate all cooperators or partners making significant contributions to the success of the proposed project. Provide brief summaries of the respective roles and types of contributions (e.g., financial, in-kind, technical) to the achievement of the project objectives. Include names, addresses, affiliations, phone, and email addresses. Indicate arrangements and mechanisms for establishment and execution of partnerships.

Describe any arrangements to include natural and cultural resource managers in the study design team; be specific, including agency and individuals' names. When applicable, summarize how this project will rely upon, build upon, or otherwise leverage either (1) existing USGS funding or projects or (2) the funding and resources of partners and collaborators. Include any community engagement efforts, ongoing or planned, that might inform project objectives or outcomes.

Facilities/Equipment/Study Area(s): Describe facilities, major equipment, computing infrastructure and field- study areas utilized in the project.

Work and Reporting Schedule: Provide a timetable for achievement of milestones, other accomplishments, and completion of the project.

Qualifications of Project Personnel: Summarize briefly the qualifications of each principal investigator, co- investigator, and any other personnel with primary responsibilities and making significant contributions to the success of the proposed project. Refer to CVs as appropriate.

Legal and Policy-Sensitive Aspects: Address any issues related to legal or policy mandates. Include any necessity for state or federal permits (e.g., the need for permits to collect or hold wild animals, to access federal or private lands, or any restrictions on the dissemination of data or products). If field work is a component of the project, identify and indicate whether arrangements have already been made for access to the land.

Animal Use or Human Subjects: Any research on animals must go through the investigators' Institutional Animal Care and Use Committee (IACUC) and get formal approval by their Institutional Review Board or similar entity.

Any research working with human subjects must go through the investigators' institutional Human Subjects Review process and get formal approval by their Institutional Review Board or similar entity.

Tables and Figures: Tables and figures may be included in the proposal body, as necessary, but they must be within the seven-page limit.

D. Budget Justification (max. 2 pages)

A budget justification must be included to explain project costs in the budget categories. Detail should be sufficient to allow evaluation by reviewers of the costs proposed. The categories below align with categories required in the Excel Budget Form (see Section 2: Budget Form, below). Explain requests in each category:

- 1. Salaries and Wages:** Identify individuals (e.g. the PI) or categories (e.g. graduate student) and for each include salaries and wages, estimated hours or percent of time, and the rate of compensation proposed. Include an explanation of the amounts included for projected increases if the rate of pay shown is higher than the current rate of pay. Identify each person with a task in the project.
- 2. Fringe Benefits/Labor Overhead:** Indicate the rates/amounts in conformance with normal accounting procedures. Explain what costs are covered in this category and the basis of the rate computations. Indicate whether rates are used for proposal purposes only or whether they are also fixed or provisional rates for billing purposes.
- 3. Tuition for Graduate and Undergraduate Students:** Tuition remission and other forms of compensation paid as, or in lieu of, wages to students performing necessary work are allowable; provided that the tuition or other payments are reasonable compensation for the work performed and are conditioned explicitly upon the performance of the work.
- 4. Supplies:** Enter the cost for all tangible property, including a breakdown of costs for each item. Include the cost of office, laboratory, computing, and field supplies separately. Provide detail on any specific item, which represents a significant portion of the proposed amount. If fabrication of equipment is proposed, list parts and materials required for each and show costs separately from the other items.\

5. Equipment: Show the cost of all special purpose equipment necessary for achieving the objectives of the project. "Special purpose equipment" means scientific equipment having a useful life of more than 1 year and having an acquisition cost of \$5,000 or more per item. Each item should be itemized and include a full justification and a dealer or manufacturer quote, if available. General purpose equipment must be purchased from the applicant's operating funds. Title to non-expendable personal property shall be vested solely with the Recipient. Under no circumstances shall property title be vested in a sub-tier recipient.

6. Services or Consultants: Identify the tasks or problems for which such services would be used. List the contemplated sub-recipients by name (including consultants), the estimated amount of time required, and the quoted rate per day or hour. If known, state whether the consultant's rate is the same as she/he has received for similar services or under Government contracts or assistance awards.

7. Travel: State the purpose of the trip and itemize the estimated travel costs to show the number of trips required, the destinations, the number of people traveling, the per diem rates, the cost of transportation, and any miscellaneous expenses for each trip. Include the breakdown of travel costs – airfare, per diem, hotel, mileage, number of days and number of travelers. For travel requested to meetings or conferences, include a description of the benefit to the proposed project. Failure to provide this information may result in a determination of the cost as unallowable. Calculations of other special transportation costs (such as charges for use of applicant owned vehicles or vehicle rental costs) should also be shown.

8. Other direct costs: Itemize the different types of costs not included elsewhere; such as, publication, shipping, computing, equipment use charges, or other services. Provide breakdowns showing how the cost was estimated; for example, computer time should show the type of computer, estimated time of use, and the established rates. For publication costs, we need a breakdown of cost per page.

9. Indirect Costs/General and Administrative (G&A) Costs: Show the proposed rate, cost base, and proposed amount for allowable indirect costs based on the cost principles for the Applicant's organization. G&A should not be calculated for any tuition remission. If the Applicant has separate rates for recovery of labor overhead and G&A costs, each charge should be shown. Explain the distinction between items included in the two cost pools. The Applicant should propose rates for evaluation purposes, which they are also willing to establish as fixed or ceiling rates in any resulting award. NOTE: A copy of the indirect negotiated cost agreement with the Federal Government will be requested from all applicants recommended for an award. This request will be made at the time of recommendation notification. In the absence of a negotiated cost agreement or CPA certification, the applicant will be required to provide financial documentation to support the calculation of the proposed rates. If no documentation to support the calculation of indirect cost rates is provided, no award will be made.

10. Partner Contributions: Provide summary of any financial contributions from partners or match from your institution. Any contributions from partners should be documented in a letter of support.

E. Curriculum Vitae (max. 2 pages per investigator)

F. Literature Cited (no page limit)

Include full citations at the end of the proposal body.

G. Letters of Support (optional as needed, max. 1 page each)

2. BUDGET FORM

Proposers are required to use the Budget Form Template (Excel) provided in RFPManager. Additional information about costs should be provided in the Budget Justification within the proposal PDF (see Section D. Budget Justification above).

Please note that the level of detail described above is also needed for *all subawards*.

Below is a listing of the categories of budget information that will be required in the template. This information will be broken out by institution and by fiscal year. Insert additional lines or columns as needed.

Please include separate “institution” columns for:

- University of Alaska-Fairbanks (if the project has a university component)
- Other UA Campus Units – including separate entries for each campus.
- Any USGS unit receiving funding. Thus, a project involving two University units and a USGS lab would have THREE “institution” columns.
- Any other participant (e.g. a non-UA system university) whose activities are “major” in terms of the project budget or responsibility for completion. (As noted below, smaller partners and minor contracts, e.g. sample analysis, should be included under Contractual or Consultant Services)

Budget Information:

- A. Salaries and Wages
- B. Fringe Benefits
- C. Tuition
- D. Supplies
- E. Equipment
- F. Services or Consultants
- G. Travel
- H. Other Direct Costs (i.e. Publication costs, IT services, Facilities, Lab Fees)
- I. Total Direct Charges (*automatically calculated in template*)
- J. Indirect Charges Collected by Recipient Institution (*overhead/burden*)
- K. Indirect Charges Collected by HOST institution (*Project Total Costs*)
- L. Total Indirect Charges (*automatically calculated in template*)
- M. GRAND TOTAL REQUESTED FUNDS (Total Direct + Host Indirect + Recipient Indirect Costs) (*automatically calculated in template*)

NOTE RE: NON-FEDERAL FUNDING CONTRIBUTIONS: For the categories described above, please total all additional NON-FEDERAL funding sources in COLUMN B of the Budget Form Template (Excel). This column will not be added to the “GRAND TOTAL REQUESTED FUNDS” for the project, but is necessary information for USGS.

NOTE RE: INDIRECT COSTS COLLECTED BY HOST INSTITUTION – FOR HOST INSTITUTION LED PROPOSALS ONLY: All proposals led by the AK CASC Host Institutions must be submitted through UA-Fairbanks. Applicants at other UA campuses may be required to include an amount to cover indirect costs at UAF as part of this pass-through process. Please include the appropriate indirect charges on the budget sheet for your proposal.

Proposers are strongly encouraged to consult with AK CASC University Director Scott Rupp (tsrupp@alaska.edu) concerning indirect cost policies for funds passed through UAF.

3. DATA MANAGEMENT PLAN

Please see (<https://www.usgs.gov/ecosystems/climate-adaptation-science-centers/data-policy-and-guidance>) for guidance and instructions on how to develop the required Data Management Plan (DMP). The Data Management Plan will be submitted via RFPManager.

If the proposal is selected for funding, the Data Management Plan *must* be updated within one month of project initiation and reviewed periodically until project completion. The AK CASC Data Steward will work with research teams to answer any questions and assist in the development and review of the Data Management Plan for funded projects. If there are any questions, please contact Emily Fort (efort@usgs.gov), the Data and Information Coordinator for the National Climate Adaptation Science Center.