

# FUNDING OPPORTUNITY - FISCAL YEAR 2017

U.S. Department of the Interior

U.S. Geological Survey

DOI Climate Science Centers

## GENERAL INFORMATION AND INSTRUCTIONS

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Information in this document can also be found online at <https://nccwsc.usgs.gov/Funding-Opportunities>

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## Funding Opportunity Details and Schedule

This document invites Statements of Interest (SOI) for projects to be initiated in **Fiscal Year (FY) 2017** for the **Alaska, South Central, and Southwest CSCs**. The remaining CSCs are not participating in this funding opportunity.

**Eligible Applicants:** Only the following may submit (as the lead Principal Investigator) Statements of Interest (SOI) or Proposals in response to this Funding Opportunity:

- Institutions that are either Host Institutions or Consortium Members for the *requesting* DOI Climate Science Center<sup>1</sup> and
- USGS centers, field stations, laboratories, Cooperative Research Units, etc.

Each proposal must have a Principal Investigator (PI) from an eligible institution. **Parties from other organizations (Federal, State, Tribal, or other) can participate and receive funds via subaward from the PI but the proposal submitter and PI must be from an eligible organization, as described above.** Non-eligible applicants are encouraged to establish working partnerships with one of the recognized eligible applicants to seek participation as part of a project lead by a CSC/university consortium member or USGS facility.

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<sup>1</sup> Exceptions are made for projects spanning multiple CSC regions (these should be submitted to all CSCs of interest (See "[Additional Considerations](#)").

If you have submitted a Statement of Interest (SOI) to a previous CSC Funding Opportunity but were not chosen for funding, you will *not* automatically be considered again for FY17 funds. *You must resubmit another SOI for this funding opportunity to be considered.*

**Estimated Available Funds:** Approximately \$1,600,000 to \$1,800,000 may be available to fund projects that support CSC science priorities in Fiscal Year 2017 for the participating CSCs. See individual CSC sections in this document for details. Final funding is subject to the availability of funds and passage of a full Fiscal Year 2017 budget.

**Funding Process:** All funds will be transferred from a CSC to either:

- A USGS entity through a change of allocation or
- A CSC host institution through a grant or cooperative agreement. These entities may then provide subawards to members of the CSC consortium or other parties. (Determinations as to whether a grant or a cooperative agreement will be utilized are made by USGS.)

**Project funding amount:** See individual CSC sections for details.

**Project duration:** See individual CSC sections for details.

**Scientific topics to be funded:** See individual CSC sections for details.

## Deadlines & Schedule

Submission deadlines for Statements of Interest and Proposals are  
**5:00 PM Mountain Time**

|  |                         |
|--|-------------------------|
| <b>Deadline for submission of Statements of Interest</b> | <b>January 18, 2017</b> |
| Applicants Notified and Full Proposals Requested         | February 3, 2017        |
| <b>Deadline for Invited Full Proposals</b>               | <b>March 30, 2017</b>   |
| Applicants Notified of Intent to Award                   | May 15, 2017            |

**Each participating CSC will also hold informational question and answer sessions for this funding opportunity. Please refer to the individual CSC sections later in the document for those dates and details.**

*Note:* “Intent to Award” means a CSC has selected the project for funding, pending completion of all administrative reviews and processing to complete formal awards. Final funding actions will not occur until Congressional action is taken to put a full year FY 2017 budget in place (either with appropriation bills or a year-long continuing resolution). **Delays in Congressional budget action have in the past and may again in this year delay receipt of funds.**

## Application Process

**1. Submission of Statements of Interest.** All parties interested in responding to this Funding Opportunity must first submit a Statement of Interest (SOI). An SOI application template is available in [Appendix A](#). SOIs must be submitted via RFPManager, our online proposal management system. Links to RFPManager for each CSC can be found on [Page 8](#). Failure to follow these guidelines will result in an SOI being removed from consideration. The applicant will receive a confirmation email once the SOI has been successfully submitted to RFPManager.

**2. Evaluation of Statements of Interest.** SOIs will be reviewed by the relevant CSC, with input from regional partners. Applicants may be contacted to provide additional or clarifying information. SOIs will be considered according to the following general criteria. Please see individual CSC Sections for specific criteria weightings and additional details.

- **Applicability to a high priority need identified by the relevant CSC:** The project identified in the SOI should directly address a science need identified in this funding opportunity document (see individual CSC sections). The project should address management decisions or questions important to one or more LCC or Federal, State, or Tribal resource management organization. The SOI should identify relevancy of the project results to land, fish, wildlife, habitat, or cultural heritage management issues. The SOI should clearly articulate the resource management decision being considered and how the project will bring value added to the decision making process.
- **Scientific merit and quality of the research:** SOI objectives should be robust and clearly delineated. The SOI should demonstrate sound scientific methodology, study design, and data management, and indicate how results have a broad geographic application or scientific inference. The SOI should indicate how project results will be generalizable.
- **Engagement of stakeholders, decision makers, and other research entities** (including LCCs, NOAA's Regional Integrated Sciences and Assessments (RISA) program, the USDA Climate Hubs, Tribal and Indigenous communities etc.): Preference will be given to investigators with either a strong history of partner engagement, or those demonstrating significant capacity for developing and maintaining these relationships, particularly as they may extend beyond the duration of project funding. The SOI should identify how partners will be engaged in project planning and administration and how expected results will be relevant to natural and cultural resource managers. Collaboration with partners should build upon existing work and capacity and where possible, investigators should leverage additional partner resources to carry out the proposed project. The project described should include an outreach/communications component that describes who the end user is, how they are involved in the project, and how products will be distributed and delivered.
- **Potential for cross-CSC collaboration (and National Program applicability):** The SOI should identify potential for extending research across CSC boundaries to enhance scientific objectives and inference. Where possible, the SOI should build upon existing work and capacity or complement related research underway in other climate science projects in the region.

Individual CSC sections in this document include additional detail on how these criteria will be applied or may introduce additional criteria. Applicants will also be evaluated based on past performance on USGS funded projects, if applicable. Individuals or institutions with problems in timely or effective completion of projects will be eliminated from further consideration until the issues are addressed to the satisfaction of the CSC.

**3. Request for and Submission of Full Proposal.** Selected applicants will be invited by the CSC Director to develop full proposals (including a budget and data management plan). Proposals will not be accepted from investigators other than those invited as part of this process. Proposal format information is found in [Appendix B](#).

**NOTE:** This is a two-stage proposal process.

1. All initial full proposals (invited after the SOI stage) will be submitted via RFPManager.
2. If selected,
  - **CONSORTIUM** final proposals will be submitted through Grants.gov, following (1) informal discussions with the CSC Director, and (2) formal invitation from USGS to submit.
  - **USGS** final proposals will be requested by the CSC Director only if significant changes are made to the initial full proposal during the review phase. If requested, proposals will be submitted via RFPManager.

**USGS requires CSC Consortium proposers to work with their respective “sponsored research” support staff to ensure appropriate budget detail, formatting, overhead/indirect rate calculations, etc. Host Institution sponsored research support staff will have a period following submission of full proposals to review all budgets, but investigators are most strongly encouraged to conduct this consultation prior to submission.**

The CSC Director reserves the right to contact applicants for clarification of technical elements of a proposal. Neither an invitation to submit a proposal, nor a contact from the CSC concerning proposal details implies the project will be funded.

**4. Evaluation of Full Proposals.** The criteria listed below will be applied to all proposals. See individual CSC sections in this document for specific criteria weightings and additional details.

- **Scientific merit and quality of the proposed research:** 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 accomplish the specific scientific objectives of the project, and includes a credible data management plan. Project study objectives should be robust and clearly delineated. Project results should have a broad geographic application or scientific inference. Proposal should describe the desired outcomes and indicate the type of data to be collected and any special data service needs. The proposal should indicate how the project will contribute to the training of young scientists.
- **Management Significance:** The proposal should describe the degree to which a project addresses high priority items for regional management partners, including Landscape Conservation Cooperatives (LCCs, <http://lccnetwork.org/>) and other Federal, State, or Tribal resource management organizations. Proposals should include a clear articulation of the resource management topic and decisions/management actions that are being considered which address important land, water, fish and wildlife, or cultural heritage resources in the region and/or Regional Tribal interests. Projects should be applicable to immediate, real-world planning and decision making needs as identified by resource management agencies in the relevant region. The proposal should demonstrate how the research to be conducted and scientific outcomes will bring value-added to resource questions and management decisions.
- **Coordination and Engagement with stakeholders, decision-makers, and science beneficiaries:** Intended users of the scientific output of the project (i.e., resource managers, decision makers) should be adequately engaged in the planning and administration of the proposed project. Proposals should include expressed strategies to inform and engage relevant members of the potentially affected communities and stakeholders in order to learn from their experience and on-the-ground observations and build

understanding of climate change as it relates to resource conservation and use. Where possible, the project should be coordinated or leveraged with other resources (including leveraging additional resources and complementing/integrating with existing work of the study team members). The proposal should identify collaborative partnerships (Federal, State, Tribal, or other) that will participate in the project; include any outreach components to disseminate research findings and information; and include information on how scientific findings can be used to implement new management strategies or decision frameworks.

- **Study Team qualifications:** The proposing team should have appropriate interest, high-level training, and qualifications for complex research. The proposal should demonstrate, where appropriate, a commitment for end-to-end participation from an interdisciplinary, inclusive team (including resource managers, decision makers, and scientists from the necessary scientific and analytic disciplines). The CSCs will evaluate applied and relevant past work, breadth of skill/knowledge to successfully perform the proposed research, and the integration, leadership, governance, and organizational approach of the investigator / study team. Collaborative projects (multi-PI) should include clear delineation of project responsibility across the team. Where possible, the proposed team should demonstrate evidence of successfully completing similar work in the past. (As noted previously, applicants with significant issues regarding timely or effective completion of projects will be eliminated from further consideration until the issues are addressed to the satisfaction of the CSC.)
- **Budget/work plan:** The CSCs will evaluate the project budget and work plan in relation to the proposed level of work, expected benefits, complexity and/or scope of effort, and practicality and achievability of the proposed project. Work plans should present a detailed schedule of milestones, workshops, or meetings needed to engage key stakeholders and integrate climate science into a decision framework, and specific plans for communicating the process and outcomes to decision makers and stakeholders (e.g. outreach). 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. The project work should provide opportunities for young researcher and post-doc participation. Where possible, the project study plan should include elements of capacity building through academic or technical educational programs associated with host consortium programs.
- **Data Management:** All proposals must include a credible data management plan and comply with NCCWSC requirements regarding data management, as specified in the NCCWSC/CSC Science Data Sharing Policy found at <https://nccwsc.usgs.gov/data-policies-and-guidance>. USGS policies concerning data management and public access should be followed.

**5. Review and Selection Process for Full Proposals.** Project proposals will be reviewed and selected as follows:

- Submissions will be screened by the relevant CSC 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, selected by the CSC 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 CSC Director. The CSC 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 CSC that is balanced with respect to the following: geographic distribution, project cost and duration, applicant type (USGS or consortium), subject matter

and focus, need for scientific continuity versus establishing new work, funds management, and related factors. Reviewer comments and feedback for SOIs may be released to lead proposers at the discretion of the CSC Director.

- CSC Directors will review all proposed CSC projects to identify opportunities for cross-CSC and cross-agency leveraging opportunities. As noted, this may involve consultations with the applicant and proposal revision. **Projects extending across multiple CSC regions are encouraged, and applicants considering such proposals should submit their SOI to all CSCs of interest. Applicants must state directly in their SOI and proposal if they are listed on additional CSC SOIs or proposals (also indicate this in RFPManager on the registration page).** If you would like to submit your multi-CSC SOI to a CSC that is not participating in this funding opportunity, please contact the Director of that CSC. Contact information can be found at <https://nccwsc.usgs.gov/staffPage>.
- 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 CSC consortium members 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 CSC Director.
- **If your proposal is selected to receive funds/award:**
  - **CONSORTIUM PROPOSALS:** you will be contacted by the USGS Office of Acquisition and Grants Contracting Officer to submit the official final application through Grants.gov. Submittal of the Grants.gov application shall be coordinated with the University's Office of Sponsored Programs or equivalent. This office shall serve as the official point of contact for the USGS Contracting 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 Considerations and Information

**Cross CSC Collaboration:** The regional CSCs are intended to operate as a network in which expertise at one CSC can/will be leveraged against expertise at other CSCs. Further, identification of projects that can be scaled up or combined with other projects to not only address the local science issue, but increase our understanding of regional and national implications of climate impacts will be important to assure we are making best use of our limited resources. To that end, we encourage projects to either form collaborations across CSCs in which expertise in each CSC is leveraged or develop projects that would have benefits beyond the local scale.

### **Multiple Project Submissions:**

- 1) Proposers may submit multiple SOIs for *different* projects. Please refer to RFPManager for instructions on multiple submissions.
- 2) CSCs will not accept identical proposals to multiple CSCs unless the “footprint” of the research spans multiple CSC Regions.
- 3) Projects extending across multiple CSC regions are encouraged, and applicants considering such proposals should submit their SOI to all CSCs of interest.
- 4) Applicants must state directly in their SOI/proposal if they are listed on additional SOIs/proposals (please also indicate this in RFPManager). If you would like to submit your multi-CSC SOI to a CSC that is not participating in this funding opportunity, please contact the Director of that CSC. Contact information can be found at <https://nccwsc.usgs.gov/staffPage>.

**Matching / Leveraging:** While matching funds are not required, projects providing matching funds or leveraging other funding sources will be viewed favorably. Formal cost share is NOT required, however.

**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 CSCs 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.

**Collaboration:** Proposals with co-PIs from the USGS and a consortium member are encouraged and will be evaluated more favorably. Likewise, proposals involving collaborations with other organizations (Federal, State, Tribal, or other), demonstrating the involvement and benefits of a collaborative effort will be evaluated more favorably.

**Plain Language Public Summary:** Plain Language Public Summaries are a required component for all invited full proposals. The summary must be submitted in the proposal PDF document to RFPManager. Public Summaries should not exceed 300 words, should provide a synopsis of the overall project, and should be suitable for sharing on public websites and through other outreach methods. See [Appendix C](#) for more guidance on writing this summary.

**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 provided in [Appendix D](#) and [Appendix E](#). 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. Additional / more frequent reporting may be required by individual CSCs.

**Manuscripts Intended for Publication:** All funded researchers are required to provide *advanced* notification to CSC Directors of all anticipated manuscripts intended for publication that have been produced through the CSC-funded project (or where staff received funding through a CSC graduate fellowship). All manuscripts should also include appropriate funding acknowledgements. Acknowledgements for funding support from a CSC should follow the guidelines in [Appendix F](#).

**CSC Communications Guidelines:** Communications products developed by the CSCs 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 Change and Wildlife 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://nccwsc.usgs.gov/csc-communications-guidelines>

**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 a CSC are strongly encouraged to provide images of their study area or subject and field work to provide to the CSCs for use on public websites and in outreach materials. Non-federal photographers will be asked to sign a photo permission form. Please contact [nccwsc@usgs.gov](mailto:nccwsc@usgs.gov) to submit photos or obtain the permissions form.

## Access to RFPManager

Online Proposal Management System for all Statements of Interest (SOIs) and Invited Full Proposals

Access RFPManager for the CSC you are applying to via:

|                   |   |
|-------------------|---|
| Alaska CSC        | <a href="https://my.usgs.gov/rfpManager/events/alaska_csc/FY_2017_Funding_Opportunity">https://my.usgs.gov/rfpManager/events/alaska_csc/FY_2017_Funding_Opportunity</a>               |
| South Central CSC | <a href="https://my.usgs.gov/rfpManager/events/south_central_csc/FY_2017_Funding_Opportunity">https://my.usgs.gov/rfpManager/events/south_central_csc/FY_2017_Funding_Opportunity</a> |
| Southwest CSC     | <a href="https://my.usgs.gov/rfpManager/events/southwest_csc/FY_2017_Funding_Opportunity">https://my.usgs.gov/rfpManager/events/southwest_csc/FY_2017_Funding_Opportunity</a>         |

For Technical Assistance with RFPManager, please contact:

Lei Ann Wilson  
[wilsonl@usgs.gov](mailto:wilsonl@usgs.gov)  
970-226-9179

For other issues or questions about this funding opportunity, please contact the CSC Director/Staff (See CSC-Specific Sections for contacts)

## Science Needs & Details for Each CSC

For a description of the science needs and specific details about the funding opportunity for each CSC, please see the individual CSC sections that follow.

Alaska ([Page 9](#))

South Central ([Page 11](#))

Southwest ([Page 16](#))

Additional information and templates can be found in the Appendices ([Page 21](#))

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# ALASKA CLIMATE SCIENCE CENTER

## FY 2017 Funding Opportunity *Science Needs and Evaluation Criteria*

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**Eligible Applicants:**

Only members of the Alaska CSC host institution (University of Alaska Fairbanks) and USGS centers, field stations and laboratories may submit proposals in response to this Funding Opportunity. Other parties may participate on funded projects via subawards.

**Funds Flow:**

All funds will be transferred from the Alaska CSC to either a USGS entity or the University of Alaska Fairbanks. These entities may then provide subawards to other parties.

**Estimated Available Funds:**

A total of approximately \$400,000 may be available to fund projects that support Alaska CSC science priorities in Fiscal Year 2017.

**Project Funding Amount:**

Individual project awards are not expected to exceed \$200,000 (inclusive of all indirect costs and overhead charges applied by all institutions involved) for the life of the project.

**Project Duration:**

Negotiable, but not generally expected to exceed 24 months. Projects designed for a term longer than one year must have approval from the AK CSC Director prior to SOI submission.

**Alaska CSC Contact:**

Dr. Stephen T. Gray, Director, Alaska Climate Science Center  
[sgray@usgs.gov](mailto:sgray@usgs.gov)

**Link to RFPManager:**

[https://my.usgs.gov/rfpManager/events/alaska\\_csc/FY\\_2017\\_Funding\\_Opportunity](https://my.usgs.gov/rfpManager/events/alaska_csc/FY_2017_Funding_Opportunity)

### AK CSC Science Needs

**For Fiscal Year 2017 the Alaska CSC invites Statements of Interest (SOIs) for new work to address the following topical science needs:**

The Alaska Climate Science Center (AK CSC) invites statements of intent (SOIs) for FY 2017 project proposals on climate change and the seasonality and timing of wildfire in Alaskan ecosystems. Proposed activities should consider both (1) how future climate change scenarios might affect fire activity (occurrence, area burned, and/or severity) and (2) the role of changing vegetation (potentially including fuels treatments) in wildfire response to climate change. Preference will be given to projects that leverage output from existing dynamic models (e.g., the Alaska Integrated Ecosystem Model, IEM) and/or consider elements of ecological drought (e.g., phenology of fuel flammability, aridity and availability).

The AK CSC anticipates total RFP funding of up to \$400k, with the maximum costs for any one project not likely to exceed \$200k. Projects with duration greater than one year require approval from AK CSC Director Steve Gray ([sgray@usgs.gov](mailto:sgray@usgs.gov)) prior to submission of the SOI.

In all cases, prospective investigators are strongly encouraged to contact the Alaska CSC Director (Dr. Steve Gray, [sgray@usgs.gov](mailto:sgray@usgs.gov)) for additional information. Please contact University Director Dr. Scott Rupp ([tsrupp@alaska.edu](mailto:tsrupp@alaska.edu)) with any questions regarding University of Alaska Fairbanks policies and overhead.

## AK CSC Evaluation Criteria

The Alaska CSC will employ project review procedures as detailed earlier in this document. Region-specific weighting of selection criteria and additional details follow (please also review the national standards and criteria on [Pages 3-5](#) of this document for more details about the review categories).

### Statement of Interest Review Criteria:

Statements of Interest will be evaluated by the Alaska CSC using the following criteria and relative weightings:

- **(30%) Engagement of stakeholders, decision makers, LCCs and other CSC partners**
- **(40%) Applicability to high-priority regional needs identified by the Alaska CSC and/or the CSC's regional partners.** Projects that address needs across multiple partners are strongly encouraged. Additional information on scientific priorities and a list of partners can be found at: <https://csc.alaska.edu/>
- **(15%) Applicability to national, cross-cutting CSC program goals and the goals of the National Climate Change and Wildlife Science Center** (<https://nccwsc.usgs.gov/>)
- **(15%) Scientific merit and quality of the research**

### Proposal Review Criteria:

Full Proposals will be evaluated by the Alaska CSC using the following criteria and relative weightings:

- **(25%) Scientific merit and quality of the proposed research**
- **(20%) Management Significance** (applicability to immediate, real-world planning and decision making needs as identified by resource management agencies in the Alaska Region)
- **(30%) Coordination and Engagement** (capacity for engaging resource managers and decision makers during every phase of the project, and for a demonstrated commitment to continuing these relationships beyond the funded project's duration)
- **(15%) Study Team qualifications**
- **(10%) Budget/work plan**

## Additional Information

|                                       |   |
|---------------------------------------|---|
| Background information on the SW CSC: | <a href="https://csc.alaska.edu/">https://csc.alaska.edu/</a> |
|---------------------------------------|---|

### The Alaska CSC will host two call-in sessions to address questions related to this solicitation:

|   |   |
|---|---|
| <b>Monday, December 19, 2016, 10AM AKST</b>                     | <b>Tuesday, January 10, 2017, 10AM AKST</b>                     |
| Call in number: <b>703-648-4848 or 855-547-8255</b> (toll-free) | Call in number: <b>703-648-4848 or 855-547-8255</b> (toll-free) |
| Access code: <b>15405#</b>                                      | Access code: <b>15405#</b>                                      |

*Please RSVP to Steve Gray ([sgray@usgs.gov](mailto:sgray@usgs.gov)) at least two days prior if you wish to participate in a call.*

- **NOTE ON PASS-THROUGH INDIRECT COSTS:** Applicants at academic institutions other than the University of Alaska Fairbanks must include an amount to cover pass-through costs at University of Alaska Fairbanks. Please contact University Director Dr. Scott Rupp ([tsrupp@alaska.edu](mailto:tsrupp@alaska.edu)) for the latest rates and any additional information. Appropriate pass-through charges must be included on the budget sheets for your proposal.

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# SOUTH CENTRAL CLIMATE SCIENCE CENTER

## FY 2017 Funding Opportunity *Science Needs and Evaluation Criteria*

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### Eligible Applicants:

Federal funds administered by the South Central Climate Science Center (SC CSC) are only available to institutions participating in the affiliated academic consortium (i.e. University of Oklahoma, Texas Tech University, Louisiana State University, The Chickasaw Nation, The Choctaw Nation of Oklahoma, Oklahoma State University, and NOAA's Geophysical Fluid Dynamic Laboratory), and USGS centers, field stations and laboratories. Partnering with, and across these groups is strongly encouraged. Also, partnering across CSCs is encouraged.

Each proposal must have a Principal Investigator (PI) from an eligible entity. Partnerships between University consortium scientists and USGS researchers are strongly encouraged. Other partners may receive funds via subawards, but they must have a PI that is eligible. It is not necessary for a university lead contact to be included on the proposal, but these contacts have a strong sense of the primary objectives of the SC CSC. As such, University PIs are advised to discuss proposal ideas with their respective institutional lead contact (see table below).

Prospective PIs are advised to seek out and establish working partnerships with local or regional stakeholders from relevant organizations concerned with management of natural and/or cultural resources (see list of partners below). Proposals that demonstrate clear engagement with natural and cultural resource management stakeholders, showing clear benefits through a collaborative process, will be evaluated more favorably.

Proposals should include a clear plan for communicating with those who will likely make use of its findings (stakeholders). Projects that communicate with stakeholders during the design, implementation, and final stages will be judged particularly favorably.

Consortium-initiated proposals must be submitted through University of Oklahoma. Other parties may participate on funded projects via subawards from the University of Oklahoma. USGS researchers may receive funds directly.

### Estimated Available Funds:

Approximately \$600,000 to \$800,000 may be available to fund projects that support SC CSC science priorities in Fiscal Year 2017.

### Project funding amount:

Individual project funds will not exceed a total of \$150,000 per year.

### Project Duration:

Not to exceed 24 months.

### SC CSC Contact:

Dr. Kim Winton, Director, South Central Climate Science Center  
201 Stephenson Pkwy, Five Partners Place, Suite 2100, Norman, OK 73019  
Office: 405-325-1272; Cell: 405-833-5091  
[kwinton@usgs.gov](mailto:kwinton@usgs.gov)

### Link to RFPManager:

[https://my.usgs.gov/rfpManager/events/south\\_central\\_csc/FY\\_2017\\_Funding\\_Opportunity](https://my.usgs.gov/rfpManager/events/south_central_csc/FY_2017_Funding_Opportunity)

**SC CSC Consortium Members and Lead Contacts:**

| <b>Consortium Member</b>                    | <b>Principal Investigator / Contact</b>  |
|---|--|
| University of Oklahoma                      | Dr. Berrien Moore, III<br>(contact Aparna Bamzai, <a href="mailto:aparna@ou.edu">aparna@ou.edu</a> )   |
| Texas Tech University                       | Dr. John Zak<br><a href="mailto:john.zak@ttu.edu">john.zak@ttu.edu</a>                                 |
| Louisiana State University                  | Dr. Chris D’Elia<br><a href="mailto:cdelia@lsu.edu">cdelia@lsu.edu</a>                                 |
| Chickasaw Nation                            | Mr. Wayne Kellog, P.E.<br><a href="mailto:wayne.kellogg@chickasaw.net">wayne.kellogg@chickasaw.net</a> |
| Choctaw Nation                              | Mr. Brian McClain<br><a href="mailto:bmclain@choctawnation.com">bmclain@choctawnation.com</a>          |
| Oklahoma State University                   | Dr. Jim Ansley<br><a href="mailto:Jim.Ansley@okstate.edu">Jim.Ansley@okstate.edu</a>                   |
| NOAA’s Geophysical Fluid Dynamic Laboratory | Dr. Keith Dixon<br><a href="mailto:Keith.Dixon@noaa.gov">Keith.Dixon@noaa.gov</a>                      |

**SC CSC Science Needs**

The South Central Climate Science Center has recently embarked on a research funding program that emphasizes work in the Rio Grande and Red River Basins in their entirety. This investment in climate science is not to the exclusion of other areas, but is a focal area for concentrated funding. In 2015 and 2016 a significant portion of our research budget went to projects in the Rio Grande Basin. In 2017, a similarly significant portion will be focused on the Red River Basin.

Within these basins priority will be given to projects in the following areas identified by our Stakeholder Advisory Committee (however; proposals on any weather- or climate-extreme-related projects focused on natural, cultural, or agricultural resources will be considered for funding):

**1. Studies of the impacts of extreme weather and climate on hydrology, high priority ecosystems, and human systems.**

*Definitions:*

- a. The identification of high priority ecosystems (including their component parts such as individual species) has been undertaken by the many natural and cultural resource management organizations who have partnered with the SC CSC (see table below) and others. Proposers are encouraged to work closely with these organizations in shaping a research project that will address their climate information needs.
- b. Human systems are defined as cultures, agriculture, economies, governance, transportation, education, planning, recreation, energy, and information systems.

**2. Research to develop and/or evaluate tools and techniques to assist resource managers in decision making that incorporates consideration of weather and climate extremes.**

*Areas of Particular Interest:*

- a. Decision support systems (usually models) that are intended to assist in decision making by providing relevant information.
- b. Demonstration and evaluation of techniques and targets for the restoration, enhanced adaptive

- capacity, or resilience of ecosystems or populations impacted by weather and climate extremes.
- c. Techniques for improved climate data production (including downscaling), management, and compatibility across geographies, computing devices, models, scientific disciplines, and levels of expertise (i.e. scientist to general population).

3. **Projects to communicate or increase capacity for utilizing climate information among natural, cultural, and agricultural resource managers, Tribal nations and/or the general public.** This includes outreach, trainings, and/or education (formal and informal) regarding weather and climate extremes and their potential impacts in a manner that is easily understood by these audiences using appropriate media (including social media).
4. **Projects that collate and synthesize what is known about the impacts of drought or other extreme weather on ecosystems or other natural resources in all or a portion of the South Central U.S.** This should include research projects supported by the SC CSC.

### Examples of potential projects:

These were identified through our interactions with stakeholders in the region. Other project ideas are welcome.

- A literature review or synthesis of the state of the science in the Red River basin on the impacts of weather extremes or climate change on the ecology (or hydrology; or agriculture) of the system.
- A synthesis of the impacts of weather extremes or climate on phenology and potential mismatches (e.g. bird migrations that miss prey insect emergences and result in increased bird mortality) and/or on potential species range shifts that result in new interspecies interactions or relationships (such as new prey species for a predator or species invasions of ecosystems).
- A study of how drought impacts resource managers' conservation efforts in, perspectives of, or planning in the Red River basin.
- A study of the impacts of sedimentation on ecology (or hydrology) of the Red River (and/or Lake Texoma).
- A study of the impact of predicted warmer temperatures on the survival of a focal species (e.g. alligator gar, a focal species for the GCP LCC)

## SC CSC Evaluation Criteria

### Statement of Interest Review Criteria:

Evaluation of Statements of Interest:

SOIs will be reviewed by the SC CSC, with input from regional partners, and by the National Climate Change and Wildlife Science Center (NCCWSC). Applicants may be contacted to provide additional or clarifying information. SOIs will be considered according to the following criteria. Please refer to [Page 3](#) of this document for detailed descriptions of the criteria.

1. **30% Applicability to a high priority need identified by the relevant CSC**
2. **30% Scientific merit and quality of the research**
3. **30% Engagement of stakeholders, decision makers, and other research entities**
4. **10% Potential for cross CSC collaboration**

### Review Criteria for Invited Full Proposals:

In addition to the criteria listed above, this solicitation will add or subtract from proposal scores for the following

factors. Please refer to [Page 4](#) of this document for detailed descriptions of the criteria.

1. **25% Scientific merit and quality of the proposed research**
2. **25% Management Significance (in addition to details provided on Page 4):**
  - a. Does this proposal identify collaborative partners (see table below) that will participate in the project?
  - b. Does this project help resource managers make better decisions regarding their resources?
  - c. Does this proposal clearly demonstrate a connection to the SC CSC Climate Science Priorities listed above?
3. **25% Coordination and Engagement (in addition to details provided on Page 4):**
  - a. Does this proposal include a well-developed outreach effort to disseminate research findings and information?
  - b. Does this proposal reach across multiple CSCs to build upon common needs using a standard format for data and products?
  - c. Does the proposal provide opportunities for students, young researchers, and post-docs to participate?
  - d. Proposals with co-PIs from the USGS and/or a University consortium member (see table above) are encouraged and will be evaluated more favorably?
4. **15% Study Team qualifications**
5. **10% Budget/work plan**

### Additional Information

|  |   |
|--|---|
| <b>Background information on the SW CSC:</b> | <a href="http://southcentralclimate.org/">http://southcentralclimate.org/</a> |
|--|---|

**The South Central Climate Science Center will host two question and answer sessions pertaining to this solicitation via teleconference:**

|   |   |
|---|---|
| <p><b>Wednesday, December 7, 2016, 4PM CST</b><br/>         Call in number: <b>703-648-4848 or 855-547-8255</b> (toll-free)<br/>         Access Code: 74401 #</p> | <p><b>Thursday, January 5, 2017, 10AM CST</b><br/>         Call in information: <b>703-648-4848 or 855-547-8255</b> (toll-free)<br/>         Access Code: 74401 #</p> |
|---|---|

Proposing teams are strongly encouraged to consult with one or more of the SC CSC partners listed below to assist with defining the problems and decisions to be addressed in the proposal.

**SC CSC Partners List**

| Organization   | Contact           | Email Address  |
|--|-------------------|--|
| <a href="#">Desert</a>                                   | Genevieve Johnson | <a href="mailto:gjohnson@usbr.gov">gjohnson@usbr.gov</a>       |
| <a href="#">Eastern Tallgrass Prairie and Big Rivers</a> | Gwen White        | <a href="mailto:gwen_white@fws.gov">gwen_white@fws.gov</a>     |
| <a href="#">Great Plains</a>                             | James Broska      | <a href="mailto:james_broska@fws.gov">james_broska@fws.gov</a> |

|  |   |  |
|--|---|--|
| <a href="#"><u>Gulf Coastal Plains and Ozarks</u></a>            | Greg Wathen                                   | <a href="mailto:Greg.wathen@tn.gov"><u>Greg.wathen@tn.gov</u></a>  |
| <a href="#"><u>Gulf Coast Prairie</u></a>                        | Bill Bartush                                  | <a href="mailto:Bill_Bartush@fws.gov"><u>Bill_Bartush@fws.gov</u></a>  |
| <a href="#"><u>Southern Rockies</u></a>                          | Kevin Johnson                                 | <a href="mailto:Kevin_m_johnson@fws.gov"><u>Kevin_m_johnson@fws.gov</u></a>  |
| <a href="#"><u>Southwest Climate Hub</u></a>                     | Caiti Steele                                  | <a href="mailto:caiti@nmsu.edu"><u>caiti@nmsu.edu</u></a>  |
| <a href="#"><u>Southern Plains Climate Hub</u></a>               | David Brown                                   | <a href="mailto:David.Brown@ars.usda.gov"><u>David.Brown@ars.usda.gov</u></a>  |
| <a href="#"><u>Southern Climate Impacts Planning Program</u></a> | Mark Shafer                                   | <a href="mailto:mshafer@mesonet.org"><u>mshafer@mesonet.org</u></a>  |
| Bureau of Indian Affairs   | David Anderson                                | <a href="mailto:David.Anderson@bia.gov"><u>David.Anderson@bia.gov</u></a>  |
| Various state natural resource agencies in TX, OK, NM and LA     |   |  |
| Tribal Nations and Pueblos in the region                         | April Taylor<br>Kim Merryman (for New Mexico) | <a href="mailto:april.taylor@chickasaw.net"><u>april.taylor@chickasaw.net</u></a><br><a href="mailto:kmerryman@ou.edu"><u>kmerryman@ou.edu</u></a> |

- NOTE RE: PASS THROUGH INDIRECT COSTS: All proposals submitted by non-USGS entities must be submitted by University of Oklahoma. Full proposals that are invited will get further instruction on how to address indirect costs per their partnering institution so that the appropriate indirect charges on the budget sheets may be applied.
- Multi-year Funding (relevant 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, CSCs will work with successful applicants to plan funding for multi-year projects in the fiscal years needed by the project, within the limitations of knowledge about out-year funding.
- It is strongly suggested that multi-year proposals have milestones for the end of each year with a product available for each year (i.e. year 1 literature review and data set compiled, year 2 model developed, year 3 model tested and published).

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# SOUTHWEST CLIMATE SCIENCE CENTER

## FY 2017 Funding Opportunity *Science Needs and Evaluation Criteria*

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**Eligible Applicants:**

Scientists and scholars affiliated with the SOUTHWEST CLIMATE SCIENCE CENTER (SW CSC) University Consortium (see table below) and USGS centers, field stations and laboratories may submit proposals in response to this Funding Opportunity. The University Consortium members and lead contacts are provided in Table 1. It is not necessary for a university lead contact to be included on the proposal, but these contacts have a strong sense of the primary objectives of the SW CSC. As such, University PIs are advised to discuss proposal ideas with their respective institutional lead contact.

Each proposal must have a Principal Investigator (PI) from either a SW CSC University Consortium member institution or from USGS. Partnerships between University consortium scientists and USGS researchers are strongly encouraged. Scientists and scholars at other institutions may participate as collaborators and subcontractors.

Prospective PIs are advised to seek out and establish working partnerships with local or regional stakeholders from relevant organizations concerned with management of natural resources. These organizations may include agencies within the federal Department of the Interior, other federal agencies, state agencies, tribes, and private or non-governmental entities. Proposals that demonstrate clear engagement with stakeholders from such organizations, showing clear benefits through a collaborative process, will be evaluated more favorably. The Landscape Conservation Cooperatives (LCCs) in the region are good portals for establishing partnerships with management agencies. Contact information for relevant LCCs is provided in Table 2.

Consortium-initiated proposals must be submitted through University of Arizona (UA). Other parties may participate on funded projects via subawards. USGS researchers may receive funds directly.

**Funding Stream:**

All funds will be transferred from SW CSC to either a USGS entity or UA. These entities may then provide subawards to members of the CSC consortium or other parties.

**Estimated Available Funds:**

Approximately \$600,000 may be available to fund FY 17-start projects that support SW CSC research priorities.

**Project Funding Guidance:**

The SW CSC intends to fund 3 to 5 projects through this RFP with budgets that collectively sum to approximately \$600,000 (including both years of any two-year projects).

**Project Duration:**

Not to exceed 24 months.

**SW CSC Contact:**

Dr. Stephen Jackson, Director, Southwest Climate Science Center  
1064 E. Lowell Street, Tucson, AZ 85719  
520-670-5591 ; [stjackson@usgs.gov](mailto:stjackson@usgs.gov)

**Link to RFPManager:**

[https://my.usgs.gov/rfpManager/events/southwest\\_csc/FY\\_2017\\_Funding\\_Opportunity](https://my.usgs.gov/rfpManager/events/southwest_csc/FY_2017_Funding_Opportunity)

## SW CSC Background

The U.S. Department of the Interior (DOI) established the Southwest Climate Science Center (SW CSC) in 2010 to address the challenges presented by climate change and variability in the Southwestern United States (<http://www.swcsc.arizona.edu/>). The SW CSC's mission is to provide essential scientific knowledge and tools that resource managers and other partners interested in land, water, wildlife, and cultural resources can use to anticipate, monitor, and adapt to a changing climate. The SW CSC operates using advice and guidance from a Stakeholder Advisory Committee (SAC). The SAC is chaired by the U.S. Geological Survey (USGS) Regional Director for the Pacific Region. The SW CSC also works closely with Landscape Conservation Cooperatives located wholly or partially within the SWCSC boundaries.

The SW CSC maintains two key documents that describe its geographic scope, mission, goals, guiding principles, and research priorities – a 5-year Strategic Agenda and an annual Workplan. The research priorities delineated in this RFP have been guided by the long-term and annual plans in the Strategic Agenda and 2017 Workplan. Proposal authors are encouraged to review these documents, available at the SW CSC website: <http://www.swcsc.arizona.edu/>.

In keeping with its mission, the SW CSC identifies research priorities that are tied closely to the needs of natural-resource managers. Proposals developed in response to this RFP should focus on developing knowledge that can be directly applied to specific management challenges, either locally or broadly across the landscape. Each project should target one or more issues faced by stakeholders, generate knowledge to inform those issues, and communicate the results to stakeholders in actionable ways. The FY17 research priorities are described in the next section.

## SW CSC Research Priorities

For FY 2017, the SW CSC identifies six research priorities, as outlined below. These research priorities subsume or integrate most of the research priorities outlined in the 2013 SW CSC Strategic Science Plan and the RFPs of 2013-2015. Proposals should focus on one or more of these six new priorities. PIs are encouraged to incorporate participation by 'next-generation' scientists (graduate students and post-docs), in their proposals. Potential exists for cross-cutting proposals addressing multiple priorities, old and new, and we particularly encourage proposals that effectively and convincingly speak to more than one priority. *Statements of Interest and proposals should indicate clearly which SW CSC priorities they intend to address.*

**1. Consequences of changing precipitation patterns and extremes.** The Southwest is characterized by highly variable precipitation regimes, and precipitation variability influences key ecological and hydrological processes and outcomes. In coming years, the region is likely to experience changes in the frequency, intensity, and seasonality of precipitation. An important priority is to better understand the ecological, hydrological, and societal consequences of precipitation extremes, both in the near-term and under projected future scenarios. What threats and opportunities for resource managers are posed by increased precipitation variability? How can managers most effectively plan for variability and altered extremes? How might precipitation extremes or anomalies be leveraged to advance management goals?

**2. Interactions of temperature extremes and precipitation variability.** Elevated temperatures have non-linear effects on evaporation and transpiration, and hence can amplify ecological and hydrological effects of precipitation deficits. Higher average and extreme temperatures are forecast for much of the Southwest in coming decades, but precipitation forecasts have much greater uncertainty. Regardless, the region is likely to experience interannual, decadal, and multidecadal precipitation variability, with periods of unusually high and unusually low precipitation.

Consequences of ‘hotter droughts’ deserve attention, as do those of ‘hotter normals’ and ‘hotter pluvials’. Given the precipitation variability of the region, how are temperature extremes likely to interact with precipitation variability to influence water resources, vegetation composition and structure, wildlife and fish populations and habitats, and other issues of concern to managers? What is the full range of plausible scenarios that managers may be faced with in coming years and decades?

**3. Managing in the aftermath of landscape-scale disturbances.** Much scientific work is currently focused on the direct, real-time impacts of large wildfires, insect-pest outbreaks, and mass mortality of trees and shrubs. Those events reset successional time to zero, remove incumbents, release resources for new generations of plants, and provide opportunities for colonization by native or exotic species. However, the course of succession may depend on environmental conditions and ecological processes in the first years and decades after the disturbance. Climatic, hydrological, and ecological processes in the aftermath of severe disturbances may set long-term successional pathways, determining habitat and landscape configurations that can persist for decades or more. Observational, experimental, and modeling studies can identify alternative scenarios of landscape revegetation and guide decisions and actions following severe disturbances. Exploration of the consequences of alternative climate scenarios, including climate extremes, for ecological trajectories is needed. Recent and ongoing disturbances provide opportunities for in situ experiments to facilitate understanding of change and consequences of management decisions. Application of tools designed to help managers and planners think through the consequences of alternative successional trajectories, including emergence of novel ecosystems, are also needed. Can management strategies be developed that will leverage different disturbances, different post-disturbance trajectories, and different restoration approaches to yield landscape mosaics that maintain vital ecosystem services and biodiversity? What management strategies – new, existing, or both – are likely to be robust to different future scenarios? How can new monitoring and evaluation frameworks be developed to better understand and respond to ecosystem changes following disturbance?

**4. Management of upper watersheds and downstream water resources.** In the Colorado and San Joaquin/Sacramento River systems, as well as most of the minor river systems of the Southwest, water captured as winter snowpack is delivered to rivers and reservoirs for agricultural and domestic use. Management decisions in upper basins (e.g., forest thinning, post-mortality revegetation) influence delivery via groundwater and surface streams to the lower basins, and conversely management practices in lower basins can feed back (e.g., via dust deposition) to affect water storage and delivery from upper basins. Management decisions in the lower basins can also affect efficiency and efficacy of water allocations. Better understanding of the linkages between headwaters and downstream flows, and between management decisions and water delivery, will improve drought resilience and water management.

**5. Learning from recent and ongoing climate events.** The American Southwest has experienced, and continues to experience, climatic events from which lessons can be drawn for the future. A prominent example is the ongoing regional drought, which has persisted in much of the region since 1999, and has been accompanied by unusually high temperatures. This and other recent and ongoing climate anomalies can be leveraged to better understand the consequences of climate variability and change in the coming years and decades, and can be used as a testing ground for understanding future vulnerabilities as well as for developing effective adaptation strategies. Ecological and hydrological responses to recent climate anomalies can be used to gauge responses to future events or trends. The effectiveness of ecological and hydrological models in explaining observed responses can determine robustness of those models in a changing environment, and identify knowledge gaps. Ongoing climate events and extremes can help assess the efficacy of current management and restoration practices.

**6. Utilizing emergent scientific capacities and decision tools.** Scientific capacities are improving rapidly in some key areas of climate science, notably in ability to analyze climate-model results to make probabilistic projections of

daily weather patterns and extremes across the seasons. Products of these kinds of analyses, developed in collaborations involving hydrologists, ecologists, and resource managers, can inform planning and management under climate change. These emerging climatological capacities can also inform mechanistic understanding of ecological and hydrological consequences of climate change. To date, ecological forecasts have depended largely on correlational models, and many ecological changes observed to date are not consistent with predictions of those models. Ecological responses to climate change are often under more subtle control, involving daily and seasonal extremes. Integrating emerging climatological capacities with emerging ecological and hydrological capacities, in context of specific management needs, can advance the science of climate adaptation while simultaneously helping address management challenges. At the same time, decision toolkits are expanding and diversifying, and creative application of robust and appropriate tools for decisions, applied in concert with state-of-the art science, can advance the entire field.

## SW CSC Evaluation Criteria

### Statement of Interest Review Criteria:

Statements of Interest will be ranked and evaluated according to the following criteria (see [Page 3](#) of this document for more detailed descriptions of the criteria):

1. **Engagement of stakeholders, decision-makers, LCCs, or other SW CSC partners (40%)**
2. **Applicability to regional scientific priorities as described above (30%)**
3. **Scientific merit and quality of the proposed research (30%)**

### Invited Proposal Review Criteria:

The Director of the SW CSC 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 on [Pages 4-5](#) above and summarized below.

1. **Scientific Merit and Quality of Proposed Research (Scientific Design) (35%)**
2. **Management Significance (Relevance/Applicability to Management Needs) (20%)**
3. **Coordination and Engagement (Working Partnerships and Knowledge Transfer) (20%)**
4. **Study Team Qualifications (Scientific Expertise) (15%)**
5. **Budget/Work Plan (Leveraging & Capacity Building) (10%)**

## Additional Information

|  |   |
|--|---|
| <b>Background information on the SW CSC:</b> | <a href="http://www.swcsc.arizona.edu/">http://www.swcsc.arizona.edu/</a> |
|--|---|

**The Southwest Climate Science Center will host two question and answer sessions pertaining to this solicitation via teleconference:**

|   |  |
|---|--|
| <b>Friday, December 9, 2016, 10:00 AM MST / 9:00 AM PST</b><br>Call in number: <b>703-648-4848 or 855-547-8255</b> (toll-free)<br>Access code: <b>59252 #</b> | <b>Friday, January 6, 2017, 10:00 AM MST / 9:00 AM PST</b><br>Call in number: <b>703-648-4848 or 855-547-8255</b> (toll-free)<br>Access code: <b>59252 #</b> |
|---|--|

- NOTE RE: PASS-THROUGH INDIRECT COSTS: All proposals submitted by non-USGS entities will be funded through a cooperative agreement with the host institution, which, for the SW CSC, is the University of Arizona (UA). UA

applies indirect charges (53.5% of total direct costs) to the first \$25,000 of any funds passed through to another institution. Accordingly, the maximum UA indirect charge for pass-through amounts to \$13,375. Please include the appropriate indirect charges, for both UA and other institutions, on the budget sheets for your proposal.

- All proposals are expected to have a clear breakdown of annual costs requested of the SW CSC for each participating institution for the duration of the project. Matching funds, in-kind contributions, and other sources beyond the request to the SW CSC should also be summarized.
- Multi-year Funding (relevant 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, CSCs will work with successful applicants to plan funding for multi-year projects in the fiscal years needed by the project, within the limitations of knowledge about out-year funding.

**Table 1. SW CSC University consortium members and lead contacts:**

| <b>University</b>                      | <b>Lead Contact</b>  |
|--|----------------------|
| University of Arizona                  | Jonathan T. Overpeck |
| Desert Research Institute              | Tamara Wall          |
| Scripps Institution of Oceanography    | Alexander Gershunov  |
| University of California – Davis       | Mark W. Schwartz     |
| University of California – Los Angeles | Glen M. MacDonald    |
| University of Colorado                 | Bradley H. Udall     |

**Table 2. Southwestern Landscape Conservation Cooperatives and Contacts:**

| <b>LCC</b>                  | <b>Name</b>       | <b>Title</b>        | <b>Email</b>   |
|-----------------------------|-------------------|---------------------|--|
| <b>California LCC</b>       | Debra Schlafmann  | Coordinator         | <a href="mailto:debra_schlafmann@fws.gov">debra_schlafmann@fws.gov</a> |
|                             | Claudia Mengelt   | Science Coordinator | <a href="mailto:Claudia_mengelt@fws.gov">Claudia_mengelt@fws.gov</a>   |
| <b>Desert LCC</b>           | Genevieve Johnson | Coordinator         | <a href="mailto:gjohnson@usbr.gov">gjohnson@usbr.gov</a>               |
|                             | Matt Grabau       | Science Coordinator | <a href="mailto:matthew_grabau@fws.gov">matthew_grabau@fws.gov</a>     |
| <b>Great Basin LCC</b>      | Rick Kearney      | Coordinator         | <a href="mailto:rkearney@blm.gov">rkearney@blm.gov</a>                 |
| <b>North Pacific LCC</b>    | John Mankowski    | Coordinator         | <a href="mailto:John_Mankowski@fws.gov">John_Mankowski@fws.gov</a>     |
|                             | Mary Mahaffy      | Science Coordinator | <a href="mailto:Mary_Mahaffy@fws.gov">Mary_Mahaffy@fws.gov</a>         |
| <b>Southern Rockies LCC</b> | Kevin Johnson     | Coordinator         | <a href="mailto:kevin_m_johnson@fws.gov">kevin_m_johnson@fws.gov</a>   |
|                             | John Rice         | Science Coordinator | <a href="mailto:JRice@usbr.gov">JRice@usbr.gov</a>                     |

## **List of Appendices**

Format and Guidelines for Statements of Interest ([Appendix A, Page 22](#))

Format and Guidelines for Invited Proposals ([Appendix B, Page 24](#))

Format and Template for Plain Language Public Summary ([Appendix C, Page 31](#))

Annual Report Instructions for CSC-Funded Projects ([Appendix D, Page 32](#))

Final Report Instructions for CSC-Funded Projects ([Appendix E, Page 34](#))

Instructions for Manuscripts Intended for Publication ([Appendix F, Page 37](#))

## APPENDIX A

# FORMAT and GUIDELINES for STATEMENTS OF INTEREST

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Statements of Interest (SOIs) must be submitted to RFPManager (see links on [Page 8](#)) as a PDF.

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

Section 1: Project Administration Information (1/2 page)

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

Section 3: Project Summary (1 page)

Section 4: Estimated Budget

**Two pages maximum** with a standard font at 10 point or larger with one-inch margins (*two page maximum does not include Estimated Budget Table*).

*If you are submitting an SOI for a project that extends multiple CSCs, please submit the SOI to each CSC of interest and state directly in the SOI PDF document that you plan to do so.*

In addition to submitting the PDF document, please also complete any questions that appear within RFPManager.

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The SOI guidelines and template can be downloaded in word document format from:

<https://nccwsc.usgs.gov/content/application-process-csc-funding-opportunity>

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### SECTION 1: PROJECT ADMINISTRATIVE INFORMATION (½ page)

- Project title
  - \* Note: Project titles should be written for a non-technical, non-scientific audience. An example of a good title is: The Impact of Drought on Waterbirds and Their Wetland Habitats in California’s Central Valley (straight forward, avoids scientific jargon, compelling, and easy to understand).
- Short description (generally one sentence)
- CSC to which the proposal is responding
- Name of Lead Agency/Institution/Organization requesting funding
- Project Lead Contact or Principal Investigator
- Mailing Address
- City, State, Zip
- Telephone, Fax, and E-mail

### SECTION 2: PARTNERSHIPS & COMMUNICATION (½ page)

- Description of any collaborative partnerships involved in this project.
- List of additional investigators & affiliations involved in project.
- Potential links to the strategic science needs of Landscape Conservation Cooperatives (LCCs) and other natural and cultural resource managers.
- Opportunities provided to young researchers and post-doctoral researchers.

### 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 for the region to which the proposal applies.

**SECTION 4: ESTIMATED BUDGET**

Provide an estimated budget, including relevant indirect costs (including pass through costs, if any, at the CSC host institution). Use the following format for an estimated budget table, and include it as the last page in the SOI PDF document (does not count towards the two page maximum limit):

| <b>Institution Name</b>                   | <b>Budget Year 1</b> | <b>Budget Year 2</b> | <b>Budget Year 3</b> | <b>Budget Year 4</b> | <b>Total</b> |
|---|----------------------|----------------------|----------------------|----------------------|--------------|
| Institution 1                             |                      |                      |                      |                      |              |
| Institution 2                             |                      |                      |                      |                      |              |
| Institution 3                             |                      |                      |                      |                      |              |
| Institution 4                             |                      |                      |                      |                      |              |
| <b>ADD ADDITIONAL<br/>LINES AS NEEDED</b> |                      |                      |                      |                      |              |
| <b>Total</b>                              |                      |                      |                      |                      |              |

In addition to including this budget table in the SOI PDF document, please also enter budget totals directly into the RFPManager registration page where asked.

The Budget Template “years” are budget years – the years of funding within which you propose to accomplish your work.

## APPENDIX B

# FORMAT and GUIDELINES for INVITED PROPOSALS

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

- **from Consortium 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, please also complete any questions that appear within RFPManager. Please follow instructions within the system and below.

*Note:* The requirement for a 1-2 page **Communications Plan** is currently being considered. If adopted, details for this requirement will be made available before PIs are asked to submit full proposals.

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The proposal guidelines and template will be made available in word document format from:

<https://nccwsc.usgs.gov/content/application-process-csc-funding-opportunity>

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## 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. An example of a good title is: The Impact of Drought on Waterbirds and Their Wetland Habitats in California's Central Valley (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:**

**Name and number of PI's cost center (only if USGS PI):**

**Project Contacts:**

- *Consortium Proposals:* provide **name, title, and email** of a “sponsored research office” (e.g. Sponsored Programs Office) 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 January 2017, 12 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 University Consortium 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. Final funding actions will not occur until Congressional action is taken to put a FY2017 budget in place, either with appropriation bills or a year-long continuing resolution. Delays in Congressional budget action have in the past and may again this year delay receipt of funds.

**Total project funding requested from the CSC:**

**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 climate or climate change as a keyword).

**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 in [Appendix C](#) and 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 Capitol Hill), 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. See [Appendix C](#) for additional guidelines for the Summary.

### **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.

**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. Unless otherwise noted, proposals should address information needs of the CSC region they are applying to.

**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 three 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 what will be done at the start of the project to ensure project deliverables will respond to management information needs in the CSC -identified region, including how LCCs will be involved in planning and implementing the project. Describe how project approach will ensure that expected products meet the needs of resource managers, including states, LCCs, 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. 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.

**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 will be completed on federal lands, 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, 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:**

- The CSC Host institution (if the project has a university component)
- Any CSC Consortium institutions – including the name of other organizations.
- Any USGS unit receiving funding. Thus, a project involving two consortium universities and a USGS lab would have THREE “institution” columns.
- Any other participant (e.g. a non-consortium 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 CONSORTIUM PROPOSALS ONLY: All proposals by the CSC Consortium must be submitted through a CSC Host University. Applicants at other consortium institutions may be required to include an amount to cover indirect costs at the Host University for this pass through process. Please include the appropriate indirect charges on the budget sheet for your proposal. Please review carefully the specific CSC sections earlier in this document describing required indirect charges that must be included in such proposals. Proposers are strongly encouraged (and in some cases required by the CSC or Host institution) to consult with the CSC University Director concerning indirect cost policies for funds passed through the host institution.

### 3. DATA MANAGEMENT PLAN

Please see (<https://nccwsc.usgs.gov/content/data-policies-and-guidance>) for guidance and instructions on how to develop the required Data Management Plan (DMP). The Data Management Plan will be submitted via a web-form in RFPManager. *(PDF documents will not be accepted for the DMP. Please insert information directly into the web-form.)*

**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.** A CSC 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](mailto:efort@usgs.gov)), the Data and Information Coordinator for the National Climate Change and Wildlife Science Center.

## APPENDIX C

# GUIDELINES for PLAIN LANGUAGE PUBLIC SUMMARIES

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Plain Language Public Summaries are a required component for all invited full proposals. The summary must be submitted in the proposal PDF document to RFPManager (see Appendix B for proposal requirements). If your project is selected for funding, the public summary will be displayed on a public webpage. Edits to the summary may be requested by the CSC before posting.

Public Summaries should not exceed 300 words, 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 Capitol Hill), 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?

Write the summaries in a way that is compelling, non-technical, and understandable to a non-scientist. *If your congressional representative wouldn't understand the project after one read-through of the summary... it's too technical.*

### Example of a good plain language public summary:

#### **Fighting Drought with Fire: Can Managers Increase Forest Resistance to Drought using Prescribed Fire?**

Drought is one of the biggest threats facing our forests today. In the western U.S., severe drought and rising temperatures have caused increased tree mortality and complete forest diebacks. Forests are changing rapidly, and while land managers are working to develop long-term climate change adaptation plans, they require tools that can enhance forest resistance to drought now. To address this immediate need, researchers are examining whether a common forest management tool, prescribed fire, can be implemented to help forests better survive drought.

Prescribed fire is commonly used in the western U.S. to remove potential wildfire fuel, such as small trees and shrubs. It is also thought that this act of selectively removing some trees helps the remaining trees better survive drought events, because there is less competition for water. However, the proposition that prescribed burning could improve forest resistance to drought has never been formally tested. By comparing the survivorship of trees in burned and unburned forest monitoring plots in drought-impacted areas, researchers will determine (a) whether prescribed fire is an effective tool for improving forest resistance to drought, and (b) whether factors such as time since fire and tree species and size influence a forest's degree of resistance.

In the face of ongoing climate change and projected future drought conditions in the West, this study will help land managers make informed decisions on how to best allocate limited climate change adaptation funds. The results will help managers make cost-benefit analyses of dollars spent using prescribed fire and determine whether this method can be used to prepare forests for a drier future.

## APPENDIX D

# ANNUAL REPORT INSTRUCTIONS FOR CSC FUNDED PROJECTS

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**Annual reports are due sixty (60) days prior to the end of the budget period.** Failure to provide the required information may delay payments to your project and may jeopardize your ability to participate in future CSC funding opportunities. Please submit completed reports electronically to the CSC Director from which funds were received. Additional questions, comments, and supplemental information may also be sent to the Director.

The CSCs acknowledge that the first annual report for a project may be short with only start-up activities. PIs should still complete the report to their best ability.

Additional / more frequent reporting (e.g. quarterly) may be required by individual CSCs.

This document contains instructions for completing an **annual report** for projects funded by a Climate Science Center (CSC). Annual reports of your project activities provide a record of your study and preliminary results. Annual reports serve several important functions to the CSC and are used as:

- An essential component of the CSC due diligence activities;
- A means for PIs to communicate significant preliminary research findings or reasons for project delays;
- A metric for gauging the impact of CSC funding programs;
- A method for PIs to provide advanced notice to CSC Directors about upcoming publications in order to ensure effective communication efforts (e.g. press releases, website announcements etc.);

Annual reports do not need to be lengthy, but we ask that you include the following information:

**1. ADMINISTRATIVE:** Please include name and contact information of the award recipient, agency or institution, project title, agreement number, date of report, and period of time covered by the report.

**2. PURPOSE AND OBJECTIVES:** Describe the project goals and objectives, with particular emphasis on changes made to the objectives as stated in the original proposal. If the objectives have been added to, eliminated, or modified, please explain why these changes have been made.

**3. ORGANIZATION AND APPROACH:** Explain how each research task is being conducted. Briefly list which research methods are being used to achieve results, including new methods that were not described in the original proposal. Please also discuss any problems or delays encountered in conducting the research during the reporting period.

**4. RESULTS:** Present your preliminary project results if possible. Both quantitative (numerical and/or statistical data) and qualitative results (descriptions of how well or poorly something worked) are useful. Of particular interest are major discoveries, innovative approaches and solutions, and accomplishments made by the project team to date.

**5. NEXT STEPS:** State and describe the next steps in the research, including an updated project timeline and anticipated completion date.

**6. OUTREACH:** Describe all project-related outreach opportunities to date. Include a list of:

- Articles that are in preparation, under review, accepted, or published in peer reviewed journals and other non-peer reviewed journals.
- Project-related conference presentations, seminars, webinars, workshops, or other presentations to the public made by research team members.
- Communications with decision-makers, including their name and agency and the date(s) and frequency of your communications. Information on whether the decision-makers were involved in the design of the project plan or if the research has been tailored to address a specifically-stated management need is also helpful.
- Websites created for the project and/or containing project information, data etc.
- Other products, such as data or databases, audio/video productions, fact sheets etc.

**7. BUDGET:** Briefly provide a summary of expenditures incurred during the year, and any unspent balance of funds and why funds have not been spent as expected.

## APPENDIX E

# FINAL REPORT INSTRUCTIONS FOR CSC FUNDED PROJECTS

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**Final reports are due ninety (90) days after the close of the performance period for the project.** Failure to provide the required information may delay payments to your project and may jeopardize your ability to participate in future CSC funding opportunities. Please submit completed reports electronically to the Director of the CSC from which funds were received. Additional questions, comments, and supplemental information may also be sent to the CSC Director.

Additional / more frequent reporting may be required by individual CSCs.

This document contains information and instructions necessary to complete the **final report** for projects funded by a Climate Science Center (CSC). The final report of your CSC-funded research project provides a record of your study and its results. Your report will serve as a resource for others: copies of project reports are available to the public upon request. The final report serves several important functions to the CSC and is used as:

- An essential component of CSC due diligence activities;
- A metric for gauging the impact of CSC funding programs;
- An opportunity for Principal Investigators (PIs) to suggest areas for improvement in the CSC funding program;
- A tool for the CSCs to gather information about publications, products, presentations and data to advance communications to resource managers, stakeholders and the general public;

The final report shall include the following sections:

**SECTION 1. ADMINISTRATIVE INFORMATION:** Please include:

- Name and contact information of the award recipient
- Agency or Institution of the recipient
- Project title
- Agreement number
- Date of the report
- Period of time covered by the report
- Actual total cost of the project

**SECTION 2. PUBLIC SUMMARY:** The public summary should be concise and informative, and should be self-contained and intelligible to a layperson. In *less than 300 words* please describe your major scientific achievements to a non-scientific community (i.e., in non-scientific language) including major benefits of your research to society at large. Highlight the findings and significance of your research to expanding general knowledge in your scientific discipline, and the application of the results of your research to address significant societal problems. The CSC may use the public summary in publicly-distributed documents and other materials. Please see [Appendix C](#) for general guidance about writing plain language public summaries.

**SECTION 3. PROJECT SUMMARY:** The project summary should provide a synopsis of the overall project. This section should summarize information from the following sections of the report body: Purpose and Objectives, Organization and Approach, Project Results, Analysis and Findings, and Conclusions and Recommendations. The project summary should be more technical than the “Public Summary” (described above).

#### **SECTION 4. REPORT BODY (Please Include the Following Sections):**

**Purpose and Objectives:** This section should include information about the issue(s) the project addressed, and the community it serves. Please describe the original objectives and goals identified during project initiation and explain how these goals were or were not met, highlighting specific achievements. This section should also describe if original objectives were eliminated, added to, or modified from the original proposal, and why these changes were made. This information is valuable for others who are studying the same topic and essential for our evaluation of the project.

**Organization and Approach:** This section of the report should explain in task orientated terms how the research activities of the project were conducted. Briefly list which research methods were used to achieve results and why they were chosen by the team.

**Project Results, Analysis and Findings:** Present your project results. Quantitative results (numerical and/or statistical data) and qualitative results (descriptions of how well or poorly something worked) are both important. Tables, graphs and other figures representing your data are excellent ways to summarize data and present them in an accessible way. Describe your research findings and list major discoveries, innovative approaches and solutions, and research accomplishments of the project team made possible by receiving CSC funding.

**Conclusions and Recommendations:** Did you encounter any problems during the project? What project tasks were not completed and why? What would you do differently if you did this project again? Also state and describe the recommended next steps. Based on what you've learned, what do you think should be studied next? Please indicate how your research results contributed to the advancement of scientific knowledge regionally and/or nationally. Please describe how the results from this project are relevant to natural and/or cultural resource managers (including Landscape Conservation Cooperatives, if applicable).

**Outreach and Products:** List the type of outreach that you did, or expect to do, including any publications or other presentations of your project to the public. Include a description of if/how the results from this project are accessible to the resource management community. Include a list of products that emerged from this research. The list should include:

- Articles in preparation, under review, accepted, or published in peer reviewed journals and other non-peer reviewed journals
- Project-related conference presentations, seminars, webinars, workshops, or other presentations to the public made by research team members.
- Websites created for the project and/or containing project information, data etc.
- Other products, such as data or databases, audio/video productions, fact sheets etc.

**Stakeholder Engagement:** Please describe your engagement with your project's stakeholders and decision makers. This should include:

- Communications with decision-makers, including their name and agency and the date(s) and frequency of your communications. Information on whether the decision-makers were involved in the design of the project plan or if the research has been tailored to address a specifically-stated management need is also helpful.
- Stakeholder feedback on the application and utility of your products (e.g. tools, publications, etc.).
- Explain the anticipated application of your product for decision-making and actions by stakeholders.

NOTE: The PI is expected to produce a written final report within ninety (90) days of the end of the performance period even if the project is still in a "wrapping up" phase (and even if all manuscripts have not yet been

completed or published). These reports are necessary to advance the CSC mission of providing tools and information to resource managers in a timely and efficient manner.

CSC/NCCWSC-funded projects will not be considered complete until all data/products have been delivered to the CSC/NCCWSC and the Data Management Plan has been updated. All projects with a USGS-affiliated researcher must comply with the [USGS Fundamental Science Practices](#) policy.

APPENDIX F

**INSTRUCTIONS FOR MANUSCRIPTS INTENDED FOR  
PUBLICATION, PRESS RELEASES, AND OTHER PROJECT  
PRODUCTS**

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**Advanced Notice to CSC of Publications:**

**Funded researchers must provide *advanced* notification to CSC Directors of all anticipated manuscripts, videos, web tools, educational tools, etc. (any type of deliverable that will be made public) intended for publication/distribution that have been produced through the CSC-funded project (or where staff received funding through a CSC graduate fellowship).** This early notice allows the CSCs to accurately account for CSC-derived products and assist as needed in any press announcements. Investigators should notify the CSC at the time a manuscript has been accepted for publication, and if possible when it has moved to “in press” status.

USGS investigators should provide notice to the CSC Director at the time of Bureau approval under the USGS Fundamental Science Practice (FSP) system (Information Products Data System, IPDS).

**Funding Acknowledgement in Publications, Products, and Press Releases:**

Funding acknowledgement must be spelled out in all scientific publications and press releases where research funding was provided by USGS.

- For other communication products – such as videos, handouts, and bookmarks – including the USGS and DOI logos is sufficient acknowledgement of funding support.
- When acknowledging funding support from a Climate Science Center, use the full (no abbreviations), official name of the CSC: The Department of the Interior [insert CSC region] Climate Science Center (e.g. for the NE CSC, please use The Department of the Interior Northeast Climate Science Center).
- Indicate that the CSC is managed by the USGS National Climate Change and Wildlife Science Center.
  - Example: This work was supported by The Department of the Interior Northeast Climate Science Center, which is managed by the USGS National Climate Change and Wildlife Science Center.
- In scientific publications (or manuscripts intended for publication), use the specific wording below to acknowledge funding:
  - **Non-federal PIs** should include the following statements (usually in the acknowledgements section): “The project described in this publication was supported by Grant or Cooperative Agreement No. [add number, and include appropriate designation of award] from the United States Geological Survey. Its contents are solely the responsibility of the authors and do not necessarily represent the views of the [insert CSC region Climate Science Center or the National Climate Change and Wildlife Science Center] or the USGS. This manuscript is submitted for publication with the understanding that the United States Government is authorized to

reproduce and distribute reprints for Governmental purposes.”

- **Federal PIs** should use the following statement of acknowledgement: “This research was funded by the Department of the Interior [insert CSC region] Climate Science Center, which is managed by the USGS National Climate Change and Wildlife Science Center” OR “This research was funded by the U.S. Geological Survey National Climate Change and Wildlife Science Center.”
- **Graduate Student Fellows** should use the following statement of acknowledgement: “This research was funded by a Department of the Interior [insert CSC region] Climate Science Center graduate fellowship awarded to [Name].”