Submitting and Writing an
Investigation Plan, Executive Summary, and Project Budget

Submission Guidelines

For consideration in the Fisheries Resource Monitoring Program (FRMP) review process, the investigator must prepare and submit an investigation plan, project budget, and executive summary. These are three separate documents. The principal investigator has the lead for the project and is responsible for submission of information for all co-investigators involved in the project. The Office of Subsistence Management (OSM) staff and the Technical Review Committee will review and evaluate the investigation plan and project budget and develop a funding recommendation for the Federal Subsistence Board and the Assistant Regional Director, Office of Subsistence Management (ARD OSM).

Executive summaries and associated Technical Review Committee funding recommendations will be assembled into a draft 2014 Fisheries Resources Monitoring Plan. The draft plan will be distributed for public review and comment through the Regional Advisory Councils beginning in August 2013. The Federal Subsistence Board will review the draft plan and will accept additional written and oral comments at its January 2014 meeting. At that time, the Federal Subsistence Board will make a recommendation to the ARD OSM on the suite of projects to include within the final 2014 Fisheries Resource Monitoring Plan.

Submit the investigation plan, executive summary and project budget no later than April 4, 2013, 5:00 p.m., to fisheries_resource_monitoring@fws.gov, or you can apply through Grants.gov Funding Opportunity # **F13AS00043**. If you need technical assistance or have any questions regarding writing and submitting these documents, please contact Kathy Orzechowski at (907) 786-3645 or 1-800-478-1456, or email kathleen_orzechowski@fws.gov.

Guidelines for preparing an investigation plan, executive summary and project budget that meet the requirements of the Fisheries Resources Monitoring Program are on the pages that follow the list of OSM staff region leads.

The Project Period of Performance is defined by 1) the Start Date, which is the beginning of the project, and must be on or after April 1, 2012 and 2) the End Date, which is the date for submission of the project's Final Report (the expected submission date for the final version, which is after review and approval of the draft by the OSM staff).

The reporting requirements are built into the Deliverables/Products and Schedule sections found on page 6. If your project varies from these reporting requirements, (i.e. Performance Reports, Annual Reports and a Final Report) please incorporate that into the schedule.

<u>New Requirements for 2014</u>

Include the following forms with your budget:

1) SF424 Application for Federal Assistance, SF424A Budget Information Non-Construction, and SF424B Assurances Non-Construction.
2) Negotiated Indirect Cost Rate Agreement – check with your finance contact as they may have already submitted the current year's agreement. We have to have this document before award. If it is not received, you may be funded **less** the amount of indirect.

Contacts

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General Inquiries

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Investigation Plan Guidelines

The investigation plan must be clear and concise and be no more than 15 pages in length (not including references and appendices). Each investigation plan is evaluated and ranked according to strategic priorities, technical-scientific merit, investigator ability and resources, and partnership-capacity building (see *Criteria Used for Evaluating Proposals and Investigation Plans*). Prepare the investigation plan in Microsoft Word and use Times New Roman 11 pt font. Consultations will be evaluated as part of partnership-capacity building.

Project Number: Number assigned for Investigation Plan Review.
Title: Project Title (Location, Species, Method; Ex: Kuskokwim River Chinook Salmon Stock Identification.)

Investigator(s): For the Principal Investigator, include name, agency or organization, address, phone number, email (if available), FAX number, and DUNS Number.

For each co-investigator identify the name, agency or organization, and the DUNS Number.

Cost: 2014 $ 2015 $ 2016 $ 2017 $
Total: $

Project Period of Performance: Start: (beginning month, year) End: (submission of approved Final Report- month, year). The Start is the date the funding instruments would be completed, signed and work is to begin.

Geographic Region: List the region where the project would be conducted (see *Regional Map* in the *Request for Proposals*). If the project spans more than one region, list it as "Multi-regional."

Federal Conservation System Unit: List the National Forest, National Park, National Preserve, National Wildlife Refuge, or Wild and Scenic River that the project addresses.

Information Type: State whether the project will collect stock status and trends (SST), harvest monitoring (HM), or cultural knowledge and traditional ecological knowledge (CK/TEK) information (defined in the *Request for Proposals*).

Issue Addressed: Describe in detail the reason(s) for gathering this information and its connection to and implications for Federal subsistence fisheries management. The investigator must ensure that the species addressed in the project is a resource that is managed through the Federal Subsistence Management Program (see *2011-2013 Federal Subsistence Fisheries Regulations,* http://alaska.fws.gov/asm/law.cfml. Identify how, where, and when the subsistence fishery takes place within a Federal Conservation System Unit. In addition, describe how this project would address priority information needs identified in the *Request for Proposals*. To earn a high ranking for Strategic Priority, investigators should clearly describe how the information collected would be applied to management and regulation of Federal subsistence fisheries and why the specific issue being addressed is important.

Quantification of Subsistence Use: Provide a description of the extent and depth of subsistence use of the resource(s) proposed for the project. This use may be expressed as the actual number or pounds harvested, and/or the number of households or villages using the resource, as well as the extent of use over time. Possible sources for this type of information include the Alaska Department of Fish and Game's (ADFG) Community Subsistence Information System (formerly Community Profile Database);

the Technical Paper Series of the ADFG Division of Subsistence; Annual Management Reports of the ADFG Division of Commercial Fisheries; and annual and final reports posted to our web site.

Background: Describe the ecological, cultural, and fishery context for the project. This information should provide the basis for defining key questions or hypotheses that would be addressed by the project. The investigator should provide a concise review of pertinent information and past literature on the subject. This review could include information from published literature, agency and organization reports, as well as unpublished information, personal contacts, etc. All sources of published information must be cited in the text (author and year within parentheses) and listed in the References section (see below). All sources of unpublished information are cited in the text only (name, affiliation, and personal communication).

Objectives: List project objectives in the sequence they would be completed. Project objectives need to be discrete, clear, measurable and achievable. Clear objectives are essential to evaluate the importance, relevance, and cost-effectiveness of the proposed work (see *Guidelines for Establishing Objectives*). If there are multiple investigators, clearly describe which investigator(s) would be responsible for each objective. Once a project receives approval for funding, the objectives are used to develop the funding documents and become the measure of success for a project.

Methods: Describe how each project objective would be accomplished. Clearly link a specific set of procedures (i.e., methods) to the accomplishment of each objective. This section should contain enough detail to allow reviewers to understand how the project would be conducted, including how data would be collected and analyzed. A description of the proposed project site, including a map, must be included in this section. To maintain the highest ethical standards and scientific integrity, research on fishes should conform to the *American Fisheries Society's Guidelines for use of Fish in Field Research* and research that includes human interactions should conform to the National Academy of Science's *Principles for the Conduct of Research in the Arctic*. Any exception must be described in the investigation plan.

To improve clarity, the Methods section should be divided into subsections that represent different components of the project, such as:

1. ***Project Area***: Describe the proposed site(s) at which work would be conducted, including any maps and figures needed to illustrate key points. The description could include geographic, geologic, ecologic, and anthropologic characteristics of the site(s), as well as, pertinent measurements or statistics.

2. ***Project Design:*** For each objective, describe experimental and sampling designs and provide rationale for selecting them. Address sample sizes, sample dates, sampling effort, and methods of sampling. Cite references containing more detail. For additional information on study design see *References for Study Design, Methods, and Analysis of Fish Populations*.

3. ***Data Collection and Reduction:*** Describe the data collected from each sample, and the protocols for collecting them. Describe the path the data would take after they leave the field. Include descriptions of data editing, the media used to record data, and the software used to store data.

4. ***Data Analysis:*** Describe the analytical procedures to be used. Cite references as appropriate. There should be a description of the analysis that would provide estimates of each parameter identified in the objectives.

Investigator Ability and Resources: For each investigator, clearly identify his/her roles and responsibilities, and provide descriptions of each investigator's:

1. ***Ability***, including
   a. Education and training
   b. Related work experience
   c. Publications, reports, and presentations (no more than five total)
   d. Past or ongoing work on FRMP studies

2. ***Resources***, including
   a. Office and laboratory facilities
   b. Technical and logistic support
   c. Personnel and budget administration

Additional evidence of ability and resources, such as reprints and letters of support, may be included as an appendix.

Consultations: Provide a summary of ongoing consultations with rural communities, Alaska Native organizations, agencies and other organizations. Attaching letters of support for a project can strengthen an investigation plan. The purpose of consultation is to ensure that local communities and organizations are aware of, and support, the proposed project. To the greatest practical extent, consultations are also intended to identify opportunities for local communities and organizations to participate in projects. All projects must observe appropriate research ethics (see *Principles for the Conduct of Research in the Arctic*). For projects involving interviews with local residents, this includes: informed consent; respect for local tradition and language; protection of privacy, dignity, and confidentiality; acknowledgement of local contributions; and return of results to participating communities.

Partnerships and Capacity Building: Describe the ways in which this project would develop partnerships and build the capability and expertise of rural and Alaska Native organizations to more meaningfully participate in management of Federal subsistence fisheries. Describe specific plans to hire and train local residents and the type of skills that would be taught. Summarize how the project would promote interaction among rural residents, agencies and other organizations in information gathering, data analysis, reporting, and information sharing.

Budget: Provide an overview of proposed costs for each organization participating in the investigation in the tabular format shown below. Include both direct and indirect costs. U.S. Fish and Wildlife Service (USFWS) programs must not assess indirect costs. Provide a copy of each agency/organization's Indirect Cost Negotiation Agreement for the current approved indirect rate. Matching funds are non-OSM funds the agency or organization would expend to conduct the project, in-kind contributions (estimated cash value of donated labor, materials, equipment, services, space and other non-cash contributions), and any funds provided through alternative funding sources. Equipment included under matching funds should be itemized in year 1 of the project. Describe the source and purpose of all proposed matching funds.

If this project would include Partners for Fisheries Monitoring Program costs, include that cost in the "Partners Program" column. For example, if a Partners fishery biologist funded at $100,000 per year would spend six months of a year to implement a project, identify $50,000 in the Partners Program column.

The budget should be developed under the appropriate funding cycle (Calendar Year, State Fiscal Year, or Federal Fiscal Year) as identified on page 8 under Project Budget Guidelines, and provided in the tabular form shown below.

Year	Federal Agency	State Agency	Alaska Native Organization	Other Organization	Partners Program	Total Request	Matching Funds
2014							
2015							
2016							
2017							
Total							

Deliverables/Products: Describe the products, including the required reports, to be developed during the course of the project. Reporting requirements can be found on the web page at: http://alaska.fws.gov/asm/fis.cfml?fissel=2. The project ends with submission of the reviewed and approved Final Report.

Schedule: Estimate the beginning and completion dates for critical segments of the project, including all deliverables, and provided in the tabular form shown below.

Example: for a project with four years of funding (dates and reporting requirements may vary by project) :

Task	Jan – Feb	Mar – Apr	May – Jun	Jul – Aug	Sep – Oct	Nov - Dec
Start up		April 1, 2014				
Sampling			May – Jun 2014 2015, 2016, 2017	Jul – Aug 2014, 2015, 2016, 2017		
Data Entry				Jul – Aug 2014, 2015, 2016, 2017		
Analysis					Sep – Oct 2014, 2015, 2016, 2017	
Annual Report Submitted			May 1, 2014; 2015; 2016			
Performance Report Submitted					Sep 30, 2015, 2016, 207	
Draft Final Report Submitted		May 1, 2017				
Final Report Submitted			July 1, 2017			

EXAMPLE

References: Provide complete citations for published literature referenced in the above sections.

Examples:

Beacham, T. D. 1982. Fecundity of Coho Salmon (*Onchorhynchus kisutch*) and Chum Salmon (*O. keta*) in the northeast Pacific Ocean. Canadian Journal of Zoology 60: 1463-1469.

Coffing, M. C. 1991. Kwethluk Subsistence: Contemporary Land Use Patterns, Wild Resource Harvest and Use, and the Subsistence Economy of a Lower Kuskokwim River Area Community, Alaska Department of Fish and Game, Division of Subsistence, Technical Paper No. 157, Juneau, Alaska.

Edwards, M.R. and D.R. Hildreth. 2005. Estimation of sockeye salmon escapement into McLees Lake, Unalaska Island, Alaska, 2005. U. S. Fish and Wildlife Service, Office of Subsistence Management, Fisheries Resource Monitoring Program, Final Report (Study No. 04-403). U. S. Fish and Wildlife Service, King Salmon Fish and Wildlife Field Office, Alaska Fisheries Data Series Report Number 2005-16, King Salmon, Alaska.

Executive Summary Guidelines

The executive summary must be provided as a separate document from the investigation plan and consist of a concise summary of the proposed project. The executive summary will be included in the 2012 Draft Fisheries Resource Monitoring Plan for public review through the Regional Advisory Councils and the Federal Subsistence Board. The Office of Subsistence Management reserves the right to edit the executive summary for clarity and brevity. **Executive summaries must not exceed two pages. Executive summaries exceeding two pages will be returned to the principal investigator for revision**. Prepare the executive summary in Microsoft Word and use Times New Roman 11 pt font.

Project Number: Number assigned in Proposal Review.
Title: Project Title

Geographic Region: State the Fisheries Resource Monitoring Program geographic area of project.

Data Type: Stock Status and Trends, Harvest Monitoring, or Cultural Knowledge and Traditional Ecological Knowledge

Principal Investigator: Include name, and agency or organization.

Co-Investigator(s): Include name(s) and agency or organization.

In a table format, provide the cost each year.
Project Cost: 2014: $ 2015: $ 2016: $ 2017: $

Issue: Briefly discuss the issue(s) that the project will address.

Objectives: Numerically list the objectives in the sequence they will be completed.

Methods: Briefly describe the methods that will be used to conduct the project.

Partnerships/Capacity Building: Describe the ways in which this project will develop partnerships and build the capacity of rural and Alaska Native organizations to participate in management of Federal subsistence fisheries.

Project Budget Guidelines

The project budget is evaluated for consistency and cost effectiveness. Detailed descriptions must be provided to explain the projected costs. The budget should be prepared in the Microsoft Excel *Budget Detail* Workbook, closely following the instructions.

Annual appropriations should be budgeted as follows:

- For Federal agencies, the budget year will be the Federal fiscal year:
  Year 1 − Start of project or − April 1− September 30 the next year (or end of project if only one year)
  Year 2 − October 1 − September 30 (or end of project if two year duration)
  Year 3 − October 1 − September 30 (or end of project if three year duration)
  Year 4 − October 1 − End of Project

- For State agencies, the budget year will be the State's fiscal year:
  Year 1 − Start of project or − April 1 − June 30 the next year (or end of project if only one year)
  Year 2 − July 1 − June 30 (or end of project if two year duration)
  Year 3 − July 1 − June 30 (or end of project if three year duration)
  Year 4 − July 1 − End of Project

- For other recipients the calendar year(or denote appropriate fiscal year):
  Year 1 − Start of project or − April 1 − March 31 (or end of project if only one year)
  Year 2 − April 1 − March 31 (or end of project if two year duration)
  Year 3 − April 1 − March 31 (or end of project if three year duration)
  Year 4 − April 1 − End of Project

If more than one investigator would be working on the project, provide a separate budget for the principal investigator and each co-investigator as provided for in the *Budget Detail* Workbook. Co-Investigator funding will be provided to the Principal Investigator organization for fund distribution and administration of the sub-award.

If this project would include Partner's costs under the Partners for Fisheries Monitoring Program, include that budget separately on a "Co-Inv" tab in the *Budget Detail* Workbook.

Direct costs, indirect costs, and matching funds are defined as follows:

- Direct costs can be specifically identified with conducting the proposed project. Direct costs need to be itemized and generally include personnel, travel, contractual, materials and supplies, and equipment. Personnel costs should include the sum of salary and benefit costs. Personnel costs should be divided into permanent fulltime positions, temporary/seasonal positions, and local hires. Each position should be listed independently. Costs for personnel must be broken down into months budgeted and the monthly cost.

  - Local hire is defined as personnel costs for hiring rural residents as personnel or sub-contracting with rural or Alaska Native organizations to provide personnel. Local hire costs are presented in the budget as a subset of personnel costs and should not be entered as either permanent or temporary personnel costs.

- Indirect costs cannot be specifically identified with conducting the proposed project, but would be incurred by the investigating agency as a result of administering the project. Indirect costs generally include space rental, utilities, postage, data processing, training, safety management, affirmative action programs, administrative support, and supervisory oversight. Since indirect costs cannot be itemized, they are computed as a percentage of the total direct costs. The percent, or indirect rate, should be stated as well as the actual request for indirect costs.

- USFWS programs must not assess indirect costs. State agencies and Alaska Native organizations should use their provisional rate. Provide a copy of each agency/organization's Indirect Cost Negotiation Agreement for the current approved indirect rate. We suggest closely coordinating with your organization's finance officer. Finance Officers should coordinate with Office of Subsistence Management when they receive new approved indirect rates. Failure to notify the Service of indirect cost rate increases could result in the Service not being able to accommodate requests for additional monies in future years funding. The composition of items included in the indirect costs need to be described in the comment section after the Budget Summary Table.

- Matching funds are non-OSM funds the agency or organization will expend for salaries and equipment to conduct the project, plus any funds provided by alternative funding sources. Equipment costs should be itemized in year one of the project. Matching funds are entered in the budget table separately. The source and purpose of all matching funds should be described in the Comments section.