

# ALASKA STATE LEGISLATURE

## LEGISLATIVE BUDGET AND AUDIT COMMITTEE Division of Legislative Finance



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### MEMORANDUM

DATE: August 6, 2009

TO: Legislative Budget and Audit Committee

FROM: David Teal  
Director

SUBJECT: Preparation for the August 14, 2009 LB&A Meeting

OMB submitted the following 23 RPLs for consideration at the August 14, 2009, Legislative Budget and Audit Committee meeting. 15 RPLs are for American Recovery and Reinvestment Act of 2009 (ARRA) projects. The RPLs, along with Legislative Finance comments, are posted on our web site at <http://www.legfin.state.ak.us/> so that committee members can print and review them.

RPL#	Agency	Appropriation/Allocation/Program	Amount	Fund Source
04-0-1007 <i>Capital</i>	Revenue	Alaska Housing Finance Corporation Homeless Assistance Program	\$650,000	MHTAAR - CIP
04-0-1008	Revenue	Child Support Services/Child Support Services Division <i>CSSD Federal Incentive Receipts</i>	\$555,629	Child Support Enforcement Federal Incentive Payments - Operating
05-0-0001	Education & Early Development	Commissions and Boards/Alaska State Council on the Arts/ <i>National Endowment of the Arts Partnership Agreements</i>	\$29,200	Federal funds - Operating
05-0-0027	Education & Early Development	Alaska Library and Museums/ Archives/ <i>Alaska State Historical Records Advisory Board</i>	\$22,000	Federal funds - Operating
06-0-0020	Health & Social Services	Behavioral Health/Rural Services & Suicide Prevention/ <i>FY10 Title 47 Secure Detox -Rural Substance Abuse Treatment Planning</i>	\$100,000	MHTAAR - Operating
06-0-0021	Health & Social Services	Behavioral Health/Rural Services & Suicide Prevention/ <i>FY10 Suicide Prevention Resource Development</i>	\$75,000	MHTAAR - Operating
10-0-5003 <i>Capital</i>	Natural Resources	Coastal Impact Assistance Program	\$27,481,207	Federal funds - CIP

10-0-5006 <i>Capital</i>	Natural Resources	Alaska Trails Initiative Program	\$2,087,200	Federal funds - CIP
25-0-3007 <i>Capital</i>	Transportation & Public Facilities	Hoonah Ferry Terminal Marine Structures	\$3,060,000	ARRA funds - CIP
45-0-1102 <i>Capital</i>	University of Alaska	Ice Core Paleoclimate	\$156,981	ARRA funds - CIP
45-0-1103 <i>Capital</i>	University of Alaska	Obesity and Chronic Disease	\$30,555	ARRA funds - CIP
45-0-1104 <i>Capital</i>	University of Alaska	Evolutionary Genomics- Threespine Stickleback	\$306,901	ARRA funds - CIP
45-0-1105 <i>Capital</i>	University of Alaska	Is the Tibetan Plateau Rising?	\$327,277	ARRA funds - CIP
45-0-1106 <i>Capital</i>	University of Alaska	IPY: Human Response to Climate Change at Cape Espenberg	\$508,138	ARRA funds - CIP
45-0-1107 <i>Capital</i>	University of Alaska	How the Timing of Summer Precipitation Affects the Responses of Boreal Forest to Climate Change	\$797,130	ARRA funds - CIP
45-0-1108 <i>Capital</i>	University of Alaska	Weddell seals as autonomous sensors of the winter oceanography of the Ross Sea	\$196,556	ARRA funds - CIP
45-0-1109 <i>Capital</i>	University of Alaska	An Ocean Observing System for the Bering Strait, the Pacific Gateway to the Arctic- an integral part of the Arctic Observing Network	\$772,111	ARRA funds - CIP
45-0-1110 <i>Capital</i>	University of Alaska	Investigating the Relationship Between Pluton Growth and Volcanism at Two Active Intrusions in the Central Andes	\$1,517,928	ARRA funds - CIP
45-0-1111 <i>Capital</i>	University of Alaska	Environmental changes alter the carbon cycle of High Arctic ecosystems: shifts in the ages and sources of CO <sup>2</sup> and DOC	\$502,530	ARRA funds - CIP
45-0-1112 <i>Capital</i>	University of Alaska	Near-inertial wave generation, propagation and shoaling in a seasonally ice-covered ocean	\$259,559	ARRA funds - CIP
45-0-1113 <i>Capital</i>	University of Alaska	SGER: Emergency Analysis and Conservation of Early Holocene Organic Tools from Central Alaska	\$6,530	ARRA funds - CIP
45-0-1115 <i>Capital</i>	University of Alaska	Nonlinearities in the Arctic climate system during the Holocene	\$119,999	ARRA funds - CIP
45-0-1117 <i>Capital</i>	University of Alaska	The Changing Seasonality of Tundra Nutrient Cycling: Implications for Ecosystem and Arctic System Functioning	\$225,072	ARRA funds - CIP

cc: Senator Meyer  
Representative Dahlstrom  
Representative Hawker  
Representative Neuman  
Representative Thomas  
Representative Doogan  
Representative Stoltze  
Representative Tuck

Senator Hoffman  
Senator Huggins  
Senator Menard  
Senator Stedman  
Senator Olson  
Josh Applebee  
Tim Grussendorf  
Miles Baker

Linda Hay  
Paulyn Swanson  
James Armstrong  
Pat Davidson  
John Bitney

**Department of Revenue  
Alaska Housing Finance Corporation  
Alaska Housing Finance Corporation Operations**

<b>Subject of RPL:</b> AHFC Homeless Assistance Program	<b>ADN/RPL #:</b> 4-0-1007
<b>Amount Requested:</b> \$650,000	<b>Appropriation Authority:</b> Sec. 4, Ch. 13, SLA 2009, Page 15, Lines 9-11
<b>Funding Source:</b> Mental Health Trust Authority Authorized Receipts (MHTAAR) - Capital	<b>Statutory Authority:</b> AS 18.56

**PURPOSE**

The Alaska Housing Finance Corporation (AHFC), through the Department of Revenue requests authority to receive and expend an additional \$650,000 of Mental Health Trust Authority Authorized Receipts (MHTAAR) for the AHFC Homeless Assistance Program appropriated in the FY10 Mental Health Bill (Ch. 13, SLA 2009). The additional MHTAAR funding has been approved by the Alaska Mental Health Trust Authority's (AMHTA) Board of Directors but was not appropriated for FY10 as notification of the available funding was not known until July 8, 2009.

**Legislative Fiscal Analyst Comment: The Mental Health Trust budget request to the Governor's office in the fall of 2008 included \$500,000 Mental Health Receipts (MHTAAR) for the Homeless Assistance project and \$650,000 MHTAAR for the Housing Trust Pilot project. The Governor chose to merge the two projects in her FY10 budget request to match the way the Conference Committee structured the projects in FY09. See table below.**

	FY09 MH Trust	FY09 Governor	FY09 CC	FY10 MH Trust	FY10 Governor	FY10 CC
<b>Homeless Assistance Project</b>	<b>2,000.0</b>	<b>2,000.0</b>	<b>8,000.0</b>	<b>2,000.0</b>	<b>10,000.0</b>	<b>8,000.0</b>
GF/MH	500.0	500.0	500.0	500.0	500.0	500.0
MHTAAR	500.0	500.0	1,500.0	500.0	500.0	500.0
AHFC dividend	1,000.0	1,000.0	3,500.0	1,000.0	6,000.0	-
Capital Income Fund	-	-	-	-	-	4,000.0
SDPR	-	-	2,500.0	-	1,000.0	1,000.0
federal	-	-	-	-	2,000.0	2,000.0
<b>Housing Trust Pilot</b>	<b>-</b>	<b>10,000.0</b>	<b>-</b>	<b>10,900.0</b>	<b>-</b>	<b>-</b>
GF/MH	-	2,500.0	-	250.0	-	-
MHTAAR	-	2,500.0	-	650.0	-	-
AHFC dividend	-	2,500.0	-	10,000.0	-	-
SDPR	-	2,500.0	-	-	-	-
<b>TOTAL</b>	<b>2,000.0</b>	<b>12,000.0</b>	<b>8,000.0</b>	<b>12,900.0</b>	<b>10,000.0</b>	<b>8,000.0</b>

Agency Contact: Les Campbell: (907) 330-8356  
LFD Analyst: Rob Carpenter: (907) 465-5413

**The Governor's letter (required by law) explaining differences between the Governor's request and the Trust recommendations provided no reason for deleting the \$650,000 proposed by the trust. It is unclear where or how communication broke down, but the availability of the \$650,000 MHTAAR funding was not reported to the Finance Committees during session. The movement of funding from the pilot program to the housing assistance program has been approved by the MH Trust Board and the money is available immediately. If approved, the RPL funding will bring the project total to \$8.65 million.**

The AHFC Homeless Assistance Program provides assistance to families in imminent danger of becoming homeless, or those who are currently homeless. This program provides grants to assist nonprofit organizations, local governments, and regional housing authorities addressing the emergency needs of homeless and near-homeless Alaskans. The projected outcomes are to: prevent near homeless individuals and families from becoming homeless; and/or provide homeless individuals and families' assistance to obtain safe, sanitary shelter.

#### **PREVIOUS LEGISLATIVE CONSIDERATION**

- The AHFC Homeless Assistance Program was approved in the FY10 Mental Health Bill - HB 83.
- The additional \$650,000 will maintain the existing homeless assistance program operated by AHFC.
- There is no change in intent language for this project.
- This is the first RPL request for this appropriation.

#### **TIMING ISSUES**

- AHFC was notified by the AMHTA of the additional funding on July 8, 2009.
- Documentation of the AMHTA Board's authorization is attached to this RPL.
- Funds are available upon approval of this RPL.
- AHFC anticipates awarding these funds in December 2009.
- If this RPL request is denied, AHFC will not be able to accept the MHTAAR funds and the projected homeless prevention activities will not occur in this year's funding cycle.

#### **BUDGETARY ISSUES**

- This program fits within AHFC's mission to expand affordable housing opportunities to low and moderate income households. The funds will be coordinated with existing programs to achieve maximum leveraging and increase housing assistance to homeless individuals and families in Alaska.
- AHFC already administers this program under rules ensuring that costs are reasonable and services provided are appropriate for the client population.
- AHFC currently supports the administrative expenses related to this program.
- These funds are MHTAAR. No General Funds will be used.

Agency Contact: Les Campbell: (907) 330-8356

LFD Analyst: Rob Carpenter: (907) 465-5413

Attached are supporting documents:

- Alaska Mental Health Trust Authority Approved Budget FY2010/2011 approved January 2009 – the \$650,000 is referred to as the “Housing Trust Pilot” on line 25 of page 7 of the approved budget.
- FY2010 MH AHFC Homeless Assistance Program – ABS Capital Budget Narrative

**MH AHFC Homeless Assistance Program**

**FY2010 Request: \$8,000,000**

**Reference No: 45390**

**AP/AL:** Appropriation

**Project Type:** Economic Assistance

**Category:** Health/Human Services

**Location:** Statewide

**Contact:** Les Campbell

**House District:** Statewide (HD 1-40)

**Contact Phone:** (907)330-8356

**Estimated Project Dates:** 07/01/2009 - 06/30/2014

**Brief Summary and Statement of Need:**

Corporate (AHFC), General Fund/Mental Health, Mental Health Trust Authority (MHTAAR) Statutory Designated (SD), and Federal funds for grants to local communities/agencies to help develop programs designed to reduce homelessness by providing services that prevent housing displacement and assist the homeless to transition back to permanent housing. Corporate funds will be leveraged with the other funds. All funds will be combined and administered as one program by AHFC.

<b>Funding:</b>	<b>FY2010</b>	<b>FY2011</b>	<b>FY2012</b>	<b>FY2013</b>	<b>FY2014</b>	<b>FY2015</b>	<b>Total</b>
AK Cap Inc	\$4,000,000						\$4,000,000
Fed Rcpts	\$2,000,000						\$2,000,000
GF/MH	\$500,000						\$500,000
MHTAAR	\$500,000						\$500,000
Stat Desig	\$1,000,000						\$1,000,000
<b>Total:</b>	<b>\$8,000,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$8,000,000</b>

<input type="checkbox"/> State Match Required	<input type="checkbox"/> One-Time Project	<input type="checkbox"/> Phased - new	<input type="checkbox"/> Phased - underway	<input checked="" type="checkbox"/> On-Going
0% = Minimum State Match % Required		<input type="checkbox"/> Amendment	<input checked="" type="checkbox"/> Mental Health Bill	

**Operating & Maintenance Costs:**

	<u>Amount</u>	<u>Staff</u>
Project Development:	0	0
Ongoing Operating:	0	0
One-Time Startup:	0	0
<b>Totals:</b>	<b>0</b>	<b>0</b>

**Additional Information / Prior Funding History:**

See funding history at the end of the project description.

**Project Description/Justification:**

The purpose of this program is to support programs that address homelessness by providing assistance to families in imminent danger of becoming homeless, or those who are currently homeless. The projected outcomes are to: prevent near homeless individuals and families from becoming homeless; and/or provide homeless individuals and families assistance to obtain safe, sanitary shelter.

Established in 1993, this program enables thousands of homeless and/or near homeless families to obtain or retain safe and sanitary shelter each year. Demand for this program has steadily increased as federal and municipal sources have diminished.

The Homeless Assistance Program (HAP) provides grants to assist nonprofit organizations, local governments, and regional housing authorities in addressing the emergency needs of homeless and

**MH AHFC Homeless Assistance Program****FY2010 Request: \$8,000,000**  
**Reference No: 45390**

near-homeless Alaskans. During the previous two competitive rounds, the total amount of Homeless Assistance Program (HAP) grant requests received by AHFC has averaged \$2.5 million annually. This program has become increasingly important as funds for grants such as homeless assistance from municipal grants and federal Emergency Housing Assistance continues to shrink.

The most recent grantees have utilized HAP funds to expand shelter facilities, develop supportive transitional housing, provide case management, and rental assistance services. For Fiscal Year 2010, AHFC is requesting authorization for expenditure of \$6,000,000 in Corporate Receipts which will be matched by \$500,000 in funds from the Alaska Mental Health Trust Authority Receipts (MHTAAR) and \$500,000 from General Funds/Mental Health (GF/MH), \$2,000,000 Federal receipts, and \$1,000,000 Statutorily Designated receipts. All funds will be combined and administered as one program by AHFC. A portion of these funds may be used to support the planning and coordination efforts of the Alaska Coalition on Housing and Homelessness.

AHFC is requesting authorization for expenditure of Corporate Receipts which will be matched by other funds. All funds will be combined and administered as one program by AHFC.

**FY2009- Applications Received Totaling \$2.57 million****Program Categories are (T) Temporary Housing and Placement; and (H) Homeless Prevention**

<u>Name of Applicant</u>	<u>Community</u>	<u>Request</u>
1. AWAIC	Anchorage	\$143,782 (T)
2. CSS- ANC Brother Francis	Anchorage	\$149,900 (T)
3. S.A. – Beachcomber	Kodiak	\$49,665 (T,H)
5. CSS-Clare House Covenant House - Crisis	Anchorage	\$ 191,266 (T,H)
6. Center	Anchorage	\$194,998 (T,H)
7. S.A.-Eagle Crest S.A.-Fairbanks Family	Anchorage	\$54,541 (T)
8. Svcs	Fairbanks	\$59,381 (T,H)
9. Fairbanks Rescue Mission	Fairbanks	\$140,595 (T)
10. CSS-Gov't Hill/St. Francis GHS-Juneau Homeless	Anchorage	\$125,584 (T,H)
11. Coalition	Juneau	\$298,775 (S,T,H)
12. Kenai Peninsula Housing Kodiak Brother Francis	Kenai	\$56,700 (T,H)
13. Shelter	Kodiak	\$129,835 (T,H)
14. Lee Shore Center	Kenai	\$28,364 (T)
15. S.A.-McKinnell Shelter	Anchorage	\$263,075 (T,H)
16. Love INC – Kenai	Kenai	\$78,750 (H)
17. Mary Magdelene Home	Anchorage	\$158,922 (T)
18. Mat-Su Family Promise Covenant House -	Mat-Su	\$70,000 (T,H)
19. Passage House	Anchorage	\$87,688 (T,H)
20. Safe Harbor Inn	Anchorage	\$84,000 (T)

MH AHFC Homeless Assistance Program

FY2010 Request: \$8,000,000  
 Reference No: 45390

S.A. - Sitka Family			
21.	Services	Sitka	\$93,240 (T,H)
22.	Tundra Women's Coalition	Bethel	\$67,500 (T,H)
23.	USAFV (Unalaska)	Unalaska	\$50,700 (T,H)

Total \$2,577,261

Funding History:

FY2009	\$3,500,000	AHFC Dividend
	\$2,500,000	Statutory Designated Receipts
	\$1,500,000	Mental Health Trust Authority Authorized Receipts
(MHTAAR)		
	\$500,000	GF/MH
FY2008	\$1,000,000	AHFC Dividend
	\$500,000	MHTAAR
FY2007	\$1,000,000	GF/MH
	\$1,000,000	MHTAAR
FY2006	\$500,000	GF/MH
	\$500,000	MHTAAR
FY2005	\$250,000	GF/MH
	\$500,000	MHTAAR
FY2004	\$250,000	AHFC Div
	\$500,000	MHTAAR
FY2003	\$250,000	AHFC Dividend
	\$500,000	MHTAAR.
FY2002	\$250,000	AHFC Dividend
	\$200,000	MHTAAR
FY2001	\$250,000	AHFC Dividend
	\$200,000	MHTAAR
FY2000	\$250,000	AHFC Dividend
	\$200,000	MHTAAR
FY1999	\$250,000	AHFC Dividend
FY1998	\$250,000	AHFC Dividend
FY1997	\$250,000	AHFC Dividend
FY1996	\$250,000	AHFC Dividend

A	B	C	D	E	F	G
2	<b>Alaska Mental Health Trust Authority</b>					
3	<b>FY2010/FY2011 Budget Sheet</b>					
4	<b>For January 2009 Full Board of Trustee Meeting</b>					
5						
6		<b>FY2010</b>	<b>FY2010 Orig</b>	<b>FY2011</b>	<b>FY2010</b>	<b>FY2010</b>
7			<b>MHTAAR/AG</b>		<b>GF/MH</b>	<b>Other</b>
8						
9		5,273.4	5,463.3	5,337.9	-	-
10	Trust & TLO operating/capital					
11		3,288.5	3,888.5	3,920.5	-	-
12	Continuing Projects					
13						
14	Focus Areas:					
15	Bring the Kids Home	1,870.0	2,020.0	2,170.0	6,416.8	2,566.8
16	Disability Justice	2,155.8	2,357.8	2,106.3	986.1	12.5
17	Housing	3,910.0	4,335.0	4,410.0	1,550.0	13,450.0
18	Trust Beneficiary Projects	3,762.4	3,962.4	3,942.4	150.0	200.0
19	Workforce Development	2,619.2	3,301.7	3,183.1	1,782.5	192.0
20						
21	Advisory Board Requests	1,366.0	1,366.0	1,366.0	13,150.0	-
22						
23						
24	<b>Total</b>	<b>24,245.3</b>	<b>26,694.7</b>	<b>26,436.2</b>	<b>24,035.4</b>	<b>16,421.3</b>
25						
26	<b>Amount Available for Allocation</b>	<b>23,954.8</b>		<b>27,653.2</b>		
27						
28	<b>Uncommitted Funds</b>	<b>(290.5)</b>		<b>1,217.0</b>		
29						
30						
31						
32						
33	Operating	14,061.0		15,071.1		
34	Capital	2,780.0		2,780.0		
35	Total MHTAAR	16,841.0		17,851.1		
36	Authority Grants	7,404.3		8,585.1		
37	Total	24,245.3		26,436.2		

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	A	B	C	D	E	F	G	H
3	<b>FY2010/FY2011 Continuing Projects Budget</b>							
4								
5				FY2010	FY2010 orig	FY2011	FY2010	
6		RDU			MHTAAR/AG		GF/MH	Other
7								
8	Trust Authority Administrative Budget	DOR	O	2,650.0		2,682.6	-	-
9								
10	Trust Land Office Administrative Budget	DNR	O	1,593.4	1,783.3	1,625.3	-	-
11	TLO: MH Trust Land Development	DNR	C	680.0		680.0	-	-
12	TLO: MH Facilities	DNR	C	350.0		350.0		
13								
14	<b>Total Administrative</b>			<b>5,273.4</b>	<b>5,463.3</b>	<b>5,337.9</b>	<b>-</b>	<b>-</b>
15								
16								
17								
18	Partnership Program		AG	700.0	1,000.0	1,000.0	-	-
19	Coordinated Communications	Northwest Strategies	AG	385.0		385.0	-	-
20	Coordinated Communications		AG	-	100.0	100.0	-	-
21	Trust Directed Projects (Designated Grants)		AG	300.0	500.0	500.0	-	-
22	Trust Directed Projects - Dental	Anch/Fbks Comm Hlth	AG	130.0		130.0	-	-
23	Behavioral Health Clinic matching funds	Denali Commission	AG	250.0		250.0	-	-
24	Donated Dental	Natl Found. Of Dentistry for Handicapped	AG	22.0		22.0	-	-
25	Shared technical assistance		AG	150.0		150.0	-	-
26	Rural outreach program		AG	25.0		25.0	-	-
27	Rural technical assistance project	Agnew:Beck	AG	100.0		100.0	-	-
28	AK Brain Injury Network - operating	ABIN	AG	162.0		162.0	-	-
29								
30	ACoA Planner	DHSS/Boards/ACoA	O	84.8		87.3	-	-
31	ABADA/AMHB joint staffing	DHSS/Boards&Comm	O	403.3		418.8	-	-
32	GCDSE operating/Research Analyst III	DHSS/Boards/GCDSE	O	100.4		103.4	-	-
33								
34	Comprehensive Integrated MH Plan	DHSS/HCS	O	106.0		117.0	-	-
35	Coordinated/non-coordinated transportation & assessment	DOTPF	C	300.0		300.0		
36	IMPACT model of treating depression	DHSS/DBH/API	O	70.0		70.0		
37								
38								
39	<b>Total Continuing Projects</b>			<b>3,288.5</b>	<b>3,888.5</b>	<b>3,920.5</b>	<b>-</b>	<b>-</b>

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	A	B	C	D	E	F	G	H	I
5		<b>Bring the Kids Home Focus Area</b>			FY2010	FY2010 orig	FY2011	FY2010	
6			Dept/RDU			MHTAAR/AG		GF/MH	Other
7		<i>Strategy: Theory of Change</i>							
8		Education subcommittee contract support		AG	40.0		40.0	-	-
9		Educational research contract support		AG	-		-	-	-
10									
11		<b>Strategy Subtotal</b>			<b>40.0</b>		<b>40.0</b>	-	-
12									
13		<i>Strategy: Strong Family Voice</i>							
14		BTKH Strong Family Voice: parent & youth involved via AMHB	DHSS/Boards/AMHB	O	25.0		50.0	25.0	-
15		BTKH Peer Navigators	DHSS/DBH/SED Youth	O	-		-	100.0	-
16									
17		<b>Strategy Subtotal</b>			<b>25.0</b>		<b>50.0</b>	<b>125.0</b>	-
18									
19		<i>Strategy: Performance &amp; QA Measures</i>							
20		Independent evaluator of H&CB pilot projects		AG	75.0		75.0	-	-
21		BTKH Technical Assistance	DHSS/BH/BHAdmin	O	100.0		100.0	225.0	75.0
22		BTKH Project Assistant DHSS	DHSS/Commissioner	O	-		-	-	-
23		BTKH Project Assistant DJJ	DHSS/Juv Justice	O	-		-	-	-
24		BTKH Project Assistant OCS	DHSS/OCS	O	-		-	-	-
25		<b>Strategy Subtotal</b>			<b>175.0</b>		<b>175.0</b>	<b>225.0</b>	<b>75.0</b>
26									
27		<i>Strategy: Home &amp; Community-based Services (DBH SED Yth)</i>							
28		BTKH Crisis Bed Stabilization (Anchorage & statewide)	DHSS/DBH/SED Yth	O	150.0		150.0	-	-
29		BTKH Expansion of school-based services capacity via grants	DHSS/DBH/SED Yth	O	200.0		200.0	-	-
30		BTKH Tool kit development & expansion of school-based services capacity via contract	DHSS/DBH/BH Admin	O	100.0		100.0	-	-
31		BTKH Community BH Centers outpatient grants, emergency residential, & training	DHSS/DBH/SED Yth	O	250.0		250.0	2,000.0	-
32		BTKH Early childhood comprehensive system grants (Birth to 8 years)	DHSS/OCS/ILP Grants	O	75.0		75.0	100.0	-
33		BTKH Early childhood MH Learning Network & Coordinator	DHSS/OCS/ILP Grants	O	100.0		100.0	100.0	50.0
34		BTKH Increase Behavioral Rehabilitation Services (BSR) crisis stabilization rate	DHSS/OCS/MCD	O	-		-	-	-
35		BTKH Tribal/rural system development	DHSS/DBH/SED Yth	O	400.0		400.0	400.0	100.0
36		BTKH Transitional Aged Youth	DHSS/DBH/SED Yth	O	200.0	300.0	300.0	300.0	-
37		BTKH Capital Projects	DHSS/Facilities	C	-		-	2,316.8	2,316.8
38									
39		<b>Strategy Subtotal</b>			<b>1,475.0</b>		<b>1,575.0</b>	<b>5,216.8</b>	<b>2,466.8</b>
40									
41		<i>Strategy: Workforce Development</i>							
42		BTKH Foster Parent & Parent Recruitment, training & support	DHSS/OCS/Family Preservation	O	75.0		150.0	-	-
43									
44		<b>Strategy Subtotal</b>			<b>75.0</b>		<b>150.0</b>	-	-
45									

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	A	B	C	D	E	F	G	H	I
5		<b>Bring the Kids Home Focus Area</b>			<b>FY2010</b>	<b>FY2010 orig</b>	<b>FY2011</b>	<b>FY2010</b>	
6			Dept/RDU			MHTAAR/AG		GF/MH	Other
46		<i>Strategy: Assessment &amp; Care Coordination</i>							
47		BTKH Individualized Services	DHSS/DBH/SED Yth	O	-		-	800.0	-
48		BTKH Child Psychiatrist	DHSS/DBH/API	O	-		100.0	50.0	25.0
49									
50		<b>Strategy Subtotal</b>			<b>-</b>		<b>100.0</b>	<b>850.0</b>	<b>25.0</b>
51									
52		<i>Strategy: Trust Administrative Costs</i>							
53		BTKH Face-to-face quarterly meetings, research, travel		AG	80.0		80.0	-	-
54									
55		<b>Strategy Subtotal</b>			<b>80.0</b>		<b>80.0</b>	<b>-</b>	<b>-</b>
56									
57		<b>BTKH Focus Area Total</b>			<b>1,870.0</b>	<b>2,020.0</b>	<b>2,170.0</b>	<b>6,416.8</b>	<b>2,566.8</b>

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1/20/09

A	B	C	D	E	F	G	H	I
5	<b>Disability Justice Focus Area</b>			<b>FY2010</b>	<b>FY2010 orig</b>	<b>FY2011</b>	<b>FY2010</b>	
6		Dept/RDU		<b>MHTAAR/AG</b>			<b>GF/MH</b>	<b>Other</b>
7	<i>Strategy: Sustained focus on justice issues &amp; implementation of solutions</i>							
8	Clinical Position within Office of Integrated Housing/ Ongoing policy-level planning & implementation workgroup	DHSS/DBH/BH Admin	O	-	75.0	75.0	-	-
9								
10	<b>Strategy Subtotal</b>			-		<b>75.0</b>	-	-
11								
12	<i>Strategy: Training for criminal justice personnel</i>							
13	Implement two CIT training courses: Anchorage & one addl site		AG	65.0	92.0	92.0	-	-
14	Deliver training for prosecutors	DOL/Criminal Div	O	12.5	25.0	-	-	-
15	Deliver training for defense attorneys	DOA/OPA	O	12.5		12.5	-	-
16	Training for therapeutic court clinical staff	ACS/Trial Court	O	15.0	25.0	-	-	-
17	<b>Strategy Subtotal</b>			<b>105.0</b>		<b>104.5</b>	-	-
18								
19	<i>Strategy: Sustain &amp; expand therapeutic court models &amp; practices</i>							
20	Fairbanks Juvenile Therapeutic Court	ACS/Trial Court	O	250.9	255.9	255.9	-	-
21	Mental Health Court expansion to targeted community	ACS/Trial Court	O	204.4		204.4	-	-
22	Mental Health Court expansion to targeted community		AG	6.0		6.0	-	-
23	Increased Case Coordinator Capacity (Anchorage MH Court)	ACS/Trial Court	O	-		-	99.4	-
24	Access to timely neuropsychiatric evaluations	ACS/Trial Court	O	5.0	25.0	25.0	-	-
25	Flex funds for therapeutic court participants		AG	62.5		62.5	-	-
26	ASAP therapeutic case mgmt & monitoring	DHSS/DBH/ASAP	O	135.0		135.0	-	-
27	Lease - Barrow Therapeutic Court Case Coordinator office space	ACS/Trial Court	O	-		-	-	12.5
28	Expand tx capacity for TC participants with co-occurring disorders	DHSS/DBH/BH grants	O	75.0		-	75.0	-
29	<b>Strategy Subtotal</b>			<b>738.8</b>		<b>688.8</b>	<b>174.4</b>	<b>12.5</b>
30								
31	<i>Strategy: Transition planning &amp; continuity of care</i>							
32	Implement APIC discharge planning model in DOC	DOC/Inmate Health	O	210.0		210.0	-	-
33	Increase MH clinical capacity in DJJ facilities	DHSS/DJJ/McLaughlin	O	189.2		189.2	-	-
34	Public Defender Agency - Social Services Specialist position (Bethel)	DOA/PDA	O	138.8		138.8	-	-
35								
36	<b>Strategy Subtotal</b>			<b>538.0</b>		<b>538.0</b>	-	-
37								
38	<i>Strategy: Increase treatment capacity for offenders w/cognitive impairments</i>							
39	Increase provider capacity to better serve cognitively impaired offenders	see Workforce Dev.	O	-		-	-	-
40	Specialized skills & service training on serving cognitively impaired offenders	see Workforce Dev.	O	-		-	-	-
41	<b>Strategy Subtotal</b>			-		-	-	-
42								
43	<i>Strategy: Supports for beneficiaries who are victims of crime</i>							
44	Training & technical assistance for providers, etc.	see Workforce Dev.	O	-		-	-	-
45	Adult Guardianship/Mediation project (was "Safeguards to prevent financial victimization" last year)	ACS/Trial Court	O	-		-	147.7	-
46	<b>Strategy Subtotal</b>			-		-	<b>147.7</b>	-
47								

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	A	B	C	D	E	F	G	H	I
5	<b>Disability Justice Focus Area</b>				<b>FY2010</b>	<b>FY2010 orig</b>	<b>FY2011</b>	<b>FY2010</b>	
6			Dept/RDU		<b>MHTAAR/AG</b>			<b>GF/MH</b>	<b>Other</b>
48	<i>Strategy: Develop alternatives to incarceration for beneficiaries who require protective custody</i>								
49		Assess sleep-off alternatives in targeted communities	DHSS/DBH/BH grants	O	-		50.0	-	-
50		Develop detox & treatment capacity as alternative to protective custody holds	DHSS/DBH/BH grants	O	500.0	530.0	530.0	-	-
51									
52		<b>Strategy Subtotal</b>			<b>500.0</b>		<b>580.0</b>	-	-
53									
54	<i>Strategy: Evaluate the results of strategies</i>								
55		Initiate a comprehensive Focus Area evaluation plan		AG	50.0	60.0	60.0	-	-
56									
57		<b>Strategy Subtotal</b>			<b>50.0</b>		<b>60.0</b>	-	-
58									
59	<i>Strategy: General capacity building</i>								
60		Treatment funding for therapeutic court participants	ACS/Trial Courts	O	-		-	500.0	-
61		DOC Mental Health clinical positions	DOC/Inmate Health	O	164.0		-	164.0	-
62		Critical incident stress mgmt & moral reconation therapy training/materials	DOC/Inmate Health	O	-	12.5	-	-	-
63		<b>Strategy Subtotal</b>			<b>164.0</b>		-	<b>664.0</b>	-
64									
65									
66	<i>Strategy: Disability Justice administrative costs</i>								
67		Stakeholder travel, outside consulting or data collection, analysis, etc.		AG	60.0		60.0	-	-
68									
69		<b>Strategy Subtotal</b>			<b>60.0</b>		<b>60.0</b>	-	-
70									
71	<b>Disability Justice Focus Area Total</b>				<b>2,155.8</b>	<b>2,357.8</b>	<b>2,106.3</b>	<b>986.1</b>	<b>12.5</b>

*Alana  
1/20/09*

5	A	B	C	D	E	F	G	H	I
6		<b>Housing Focus Area</b>			<b>FY2010</b>	<b>FY2010 orig</b>	<b>FY2011</b>	<b>FY2010</b>	
7			Dept/RDU		<b>MHTAAR/AG</b>			<b>GF/MH</b>	<b>Other</b>
7		<i>Strategy: Housing policy coordination; focus area administration &amp; data</i>							
8		Affordable housing policy coordination: admin of Trust's housing workgroup		AG	125.0		125.0	-	-
9		Develop targeted date/outcome studies		AG	100.0		100.0	-	100.0
10		Regional & statewide homeless planning grants		AG	-	125.0	175.0	-	-
11		Housing Trust fund for special needs housing (coordination & admin)		AG	100.0	200.0	175.0	-	-
12		<b>Strategy Subtotal</b>			<b>325.0</b>		<b>575.0</b>	<b>-</b>	<b>100.0</b>
13									
14		<i>Strategy: Service delivery models targeting increased housing retention</i>							
15		Bridge Home pilot project	DHSS/DBH/Svcs SMI	O	750.0		750.0	-	-
16		Planning for new housing models		AG	100.0		150.0	-	-
17		DOC discharge incentive grants	DHSS/DBH/Svcs SMI	O	350.0		350.0	-	-
18		Flexible special needs housing "rent-up"	DHSS/DBH/Svcs SMI	O	200.0		200.0		
19		Operations support for sober housing for recovery	DHSS/DBH BH grants	O	-		-	300.0	-
20		<b>Strategy Subtotal</b>			<b>1,400.0</b>		<b>1,450.0</b>	<b>300.0</b>	<b>-</b>
21									
22		<i>Strategy: Capital resources</i>							
23		Special needs housing grant	DOR/AHFC	C	-		-	-	1,750.0
24		Homeless assistance project	DOR/AHFC	C	500.0		500.0	500.0	1,000.0
25		Housing Trust Pilot	DOR/AHFC	C	650.0		650.0	250.0	10,000.0
26									
27		<b>Strategy Subtotal</b>			<b>1,150.0</b>		<b>1,150.0</b>	<b>750.0</b>	<b>12,750.0</b>
28									
29		<i>Strategy: Housing preservation strategy</i>							
30		Home modification & upgrades	DHSS/Facilities	C	300.0		300.0	500.0	-
31									
32		<b>Strategy Subtotal</b>			<b>300.0</b>		<b>300.0</b>	<b>500.0</b>	<b>-</b>
33									
34		<i>Strategy: Long-term care &amp; supported housing capacity development</i>							
35		Seniors with ADRD; institutional diversion		AG	-	75.0	75.0	-	-
36		Brain injury svcs development: LT rehab support		AG	-	75.0	75.0	-	-
37		Assisted living home training & targeted capacity for development	DHSS/DBH/BH grants	O	100.0		100.0	-	-
38									
39		<b>Strategy Subtotal</b>			<b>100.0</b>		<b>250.0</b>	<b>-</b>	<b>-</b>
40									
41		<i>Strategy: Technical assistance &amp; capacity development</i>							
42		Pooled predevelopment project		AG	300.0		300.0	-	600.0
43		Office of Integrated Housing	DHSS/DBH/BH Admin	O	200.0	185.0	185.0	-	-
44		Rural long-term care development	DHSS/DSDS/Admin	O	135.0	200.0	200.0	-	-
45									
46		<b>Strategy Subtotal</b>			<b>635.0</b>		<b>685.0</b>	<b>-</b>	<b>600.0</b>
47									
48		<b>Housing Focus Area Total</b>			<b>3,910.0</b>	<b>4,335.0</b>	<b>4,410.0</b>	<b>1,550.0</b>	<b>13,450.0</b>

*Adams*  
1/20/09

	A	B	C	D	E	F	G	H	I
5		<b>Beneficiary Projects Initiative Focus Area</b>			<b>FY2010</b>	<b>FY2010 orig</b>	<b>FY2011</b>	<b>FY2010</b>	
6			Dept/RDU			<b>MHTAAR/AG</b>		<b>GF/MH</b>	<b>Other</b>
7		<i>Strategy: Grant funds for projects</i>							
8		BPI Program Grants		AG	1,500.0		1,500.0	-	-
9		Peer Operated Support Services	DHSS/DBH/SSMI	O	-		-	150.0	-
10		Mental Health Block Grant: IMR	DHSS/DBH/Bhgrants	O	-		-	-	200.0
11		<b>Strategy Subtotal</b>			<b>1,500.0</b>		<b>1,500.0</b>	<b>150.0</b>	<b>200.0</b>
12									
13		<i>Strategy: Technical assistance</i>							
14		Technical assistance for beneficiary groups & agencies		AG	265.0		265.0	-	-
15		Partners in policymaking	UAA/CHD	O	200.0		200.0	-	-
16		<b>Strategy Subtotal</b>			<b>465.0</b>		<b>465.0</b>	<b>-</b>	<b>-</b>
17									
18		<i>Strategy: Program management for grantees/initiatives</i>							
19		Program mgmt for grantees/initiatives (Initiative Admin)		AG	100.0	200.0	200.0	-	-
20		Beneficiary & family leadership conf.		AG	100.0		130.0	-	-
21		Third party evaluation		AG	50.0	150.0	100.0	-	-
22		<b>Strategy Subtotal</b>			<b>250.0</b>		<b>430.0</b>	<b>-</b>	<b>-</b>
23									
24		<i>Strategy: Ongoing support for projects with strong consumer choice &amp; expanded service</i>							
25		Mini Grants for beneficiaries experiencing mental illness		AG	388.9		388.9	-	-
26		Mini grants for ADRD beneficiaries	DHSS/DSDS/Sr grants	O	260.3		260.3	-	-
27		Mini grants for beneficiaries with disabilities	DHSS/DSDS/DD grant	O	227.5		227.5	-	-
28		Mini grants for beneficiaries experiencing chronic alcoholism		AG	320.7		320.7	-	-
29		Small projects		AG	250.0		250.0	-	-
30		Micro Enterprise Capital	DHSS/Boards/GCDSE	O	100.0		100.0	-	-
31		<b>Strategy Subtotal</b>			<b>1,547.4</b>		<b>1,547.4</b>	<b>-</b>	<b>-</b>
32									
33		<b>BPI Focus Area Total</b>			<b>3,762.4</b>	<b>3,962.4</b>	<b>3,942.4</b>	<b>150.0</b>	<b>200.0</b>

*Madeira  
4/20/09*

	A	B	C	D	E	F	G	H	I
5		<b>Workforce Development Focus Area</b>			FY2010	FY2010 orig	FY2011	FY2010	
6			Dept/RDU		MHTAAR/AG			GF/MH	Other
7		<i>Strategy: Original Behavioral Health Initiative Partnership</i>							
8		Original Behavioral Health Initiative Partnership (BHIP)	UAF	O	300.0		300.0	100.0	-
9		Trust Training Cooperative	UAA/CHD	O	559.0	695.0	695.0	-	-
10		<b>Strategy Subtotal</b>			<b>859.0</b>		<b>995.0</b>	<b>100.0</b>	<b>-</b>
11									
12		<i>Strategy: Education &amp; training of current &amp; future workforce</i>							
13		Children's Mental Health (interdisciplinary education) combined w/certification	UAA	O	64.0		64.0	-	-
14		Credentialing & Quality Standards (CQSS)	WICHE	AG	125.0		125.0	-	-
15		Autism capacity building	DHSS/PubHlth/WmnChld	O	125.0		125.0	125.0	-
16		<b>Strategy Subtotal</b>			<b>314.0</b>		<b>314.0</b>	<b>125.0</b>	<b>-</b>
17									
18		<i>Strategy: Retention of qualified employees</i>							
19		Loan Repayment		AG	200.0		200.0	-	-
20		Vacancy Study	UofA	O	25.0		25.0	-	-
21		Alaska Alliance for Direct Service	DHSS/Boards/GCDSE	O	125.0		125.0	100.0	-
22		Wages & Benefits	DHSS/DBH/BHAdmin	O				500.0	-
23		<b>Strategy Subtotal</b>			<b>350.0</b>		<b>350.0</b>	<b>600.0</b>	<b>-</b>
24									
25		<i>Strategy: Recruitment</i>							
26		Develop "grow your own" recruitment strategy for youth	DHSS/Boards/GCDSE	O	141.0	180.0	180.0	-	-
27		Develop marketing strategies for beneficiary area service careers	DHSS/Boards/GCDSE	O	-	185.0	150.0	-	-
28		Cash stipends		AG	50.0	200.0	200.0	-	-
29		<b>Strategy Subtotal</b>			<b>191.0</b>		<b>530.0</b>	<b>-</b>	<b>-</b>
30									
31		<i>Strategy: Disability Justice</i>							
32		Increase provider capacity to better serve cognitively impaired offenders	UAA/CHD	O	80.0	100.0	100.0	-	-
33		Specialized skills & service training on serving cognitively impaired offenders	UAA/CHD	O	55.0	60.0	65.0	-	-
34		Training & technical assistance for providers	UAA/CHD	O	210.0	225.0	225.0	-	-
35		<b>Strategy Subtotal</b>			<b>345.0</b>		<b>390.0</b>	<b>-</b>	<b>-</b>
36									
37		<i>Strategy: Bring the Kids Home (BTKH)</i>							
38		SCF Eklutna RPTC Training (from BTKH)	DHSS/BH Admin	O	-		-	-	-
39									
40		<b>Strategy Subtotal</b>			<b>-</b>		<b>-</b>	<b>-</b>	<b>-</b>
41									
42		<i>Strategy: Ongoing Projects</i>							
43		PhD Student Internships to work with DBH on OISPP	UAF Psychology	O	-	45.0	45.0	-	-
44		PhD Student Internships to work with DBH on OISPP	UAA Psychology	O	-	45.0	45.0	-	-
45		Behavioral Health Alliance	UofA	O	25.0		25.0	-	75.0
46		Evaluation contract	WICHE	AG	35.0		35.0	-	-
47		Peer Support	ACMHS	AG	81.2		-	-	10.0
48		Peer Support	ACMHS	O	-		66.3	-	-

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	A	B	C	D	E	F	G	H	I
5		<b>Workforce Development Focus Area</b>			<b>FY2010</b>	<b>FY2010 orig</b>	<b>FY2011</b>	<b>FY2010</b>	
6			Dept/RDU		<b>MHTAAR/AG</b>			<b>GF/MH</b>	<b>Other</b>
49		Psychiatric Residency Program	Providence	AG	100.0		-	-	-
50		<b>Strategy Subtotal</b>			<b>241.2</b>		<b>216.3</b>	<b>-</b>	<b>85.0</b>
51									
52		<i>Strategy: New Projects/Activities</i>							
53		Brain Injury Training for Providers	DHSS/DBH/BHGrants	O	50.0		50.0	50.0	-
54		PhD Clinical Internship Accreditation	UAA	O	74.0		87.7	-	32.0
55		Physical Therapy Careers	UAA	O	-		-	65.0	-
56		Statewide Workforce policy meeting		AG	55.0		-	-	20.0
57		Competency Experts Training	UAA	O	-		42.6	-	-
58		AHEC Clinical Rotations	UAA	O	-		-	50.0	-
59		Special Education Outreach for Alaska	UofA Statewide	O	-		-	50.0	-
60		Development of Highly Qualified Early Intervention/Infant Learning Program staff	DHSS/Boards/GCDSE	O	-		-	500.0	-
61		Substitute Funding for Workforce training	DHSS/Boards/GCDSE	O	-		-	100.0	-
62		ARBHTA Tele-Behavioral Health	UAF/ARBHTA	O	25.0	87.5	87.5	87.5	-
63		Workforce Development Manager	DHSS/Support Svc/ Comm Office	O	55.0		60.0	55.0	55.0
64		Workforce development administrative costs		AG	60.0		60.0	-	-
65		<b>Strategy Subtotal</b>			<b>319.0</b>		<b>387.8</b>	<b>957.5</b>	<b>107.0</b>
66									
67		<b>Workforce Focus Area Total</b>			<b>2,619.2</b>	<b>3,301.7</b>	<b>3,183.1</b>	<b>1,782.5</b>	<b>192.0</b>

*Reviewed  
1/20/09*

A	B	C	D	E	F	G	H	I
5	<b>Advisory Board Requests</b>			FY2010	FY2010 orig	FY2011	FY2010	
6		Dept/RDU			MHTAAR/AG		GF/MH	Other
7	<i>Board: Alaska Commission on Aging</i>							
8	Adjust Rates for Family Caregivers, Nutrition, Transportation and Support Svcs	DHSS/DSDS/Sr Grants	O	-	-	-	2,000.0	-
9	Aging & Disability Resource Centers	DHSS/DSDS/Sr Grants	O	125.0	-	125.0	375.0	-
10	Senior BH Svc - IMPACT		AG	100.0	-	100.0	-	-
11	Senior BH Svc - SBirt		AG	100.0	-	100.0	-	-
12	Senior BH Svc - Telebehavioral Health for Seniors	DHSS/API	O	-	-	-	150.0	-
13	COMPAN project (Protect Vulnerable Adults)	DHSS/DSDS/Admin	O	-	-	-	100.0	-
14	Fall-Safe Project	DHSS/Boards/ACoA	O	-	-	-	75.0	-
15	Healthy Body, Healthy Brain Campaign	DHSS/Boards/ACoA	O	-	-	-	-	-
16	<b>ACoA Subtotal</b>			<b>325.0</b>		<b>325.0</b>	<b>2,700.0</b>	<b>-</b>
17								
18	<i>Board: Alaska Mental Health Board and Advisory Board on Alcoholism &amp; Drug Abuse</i>							
19	Grants for community-based substance abuse services	DHSS/DBH/BH grants	O	-	-	-	1,750.0	-
20	Grants for community behavioral health services	DHSS/DBH/BH grants	O	-	-	-	1,750.0	-
21	Title 47 Secure Detox Treatment (Clitheroe)	DHSS/DBH/BH grants	O	-	-	-	1,025.0	-
22	Title 47 Secure Detox Treatment (rural treatment planning)	DHSS/DBH/BH grants	O	100.0	-	100.0	-	-
23	Transition to Full Time Work project	DHSS/DBH/BH grants	O	-	-	-	-	-
24	Psychiatric Emergency Services: DES/DET Expansion	DHSS/DBH/DET	O	300.0	-	300.0	950.0	-
25	Suicide Prevention Resource Development	DHSS/DBH/Rural Svcs & Suicide Prev	O	75.0	-	75.0	-	-
26								
27	<b>AMHB Subtotal</b>			<b>475.0</b>		<b>475.0</b>	<b>5,475.0</b>	<b>-</b>
28								
29	<i>Board: Governor's Council on Disabilities &amp; Special Education</i>							
30	Alaska Autism Resource Center/ Center for Autism Training, Resources & Parent Support	DEED/Student & School Achievement	O	200.0	-	200.0	150.0	-
31	Expanded Autism Diagnostic Clinic	DHSS/Public Health/ Women & Child	O	-	-	-	125.0	-
32	Early Intervention/Infant Learning program	DHSS/OCS/ILP	O	-	-	-	1,500.0	-
33	Behavior Intervention & Supports for Early Childhood System	DHSS/OCS	O	80.0	-	80.0	-	-
34	Rural Secondary Transition Project	DEED/Student & School Achievement	O	-	-	-	150.0	-
35	Alaska Transition Training Initiative	DHSS/OCS/ILP	O	-	-	-	-	-
36	Assistive Technologies Funding	DEED	O	-	-	-	-	-
37	Vocational Rehabilitation Transition Services	DOL/Voc Rehab	O	-	-	-	-	-
38	Conference: Prep to assist senior & benef. In community emergencies	DHSS/Boards/GCDSE	O	-	-	-	-	-
39	Boom: 10-Yr Beneficiary Needs Projection	DHSS/Boards/GCDSE	C	-	-	-	-	-
40	Crisis Response Consultation Team	DHSS/DSDS/Sr grants	O	-	-	-	500.0	-
41	Assuring Better Child Development (ABCD) Expansion	DHSS/OCS	O	-	-	-	-	-
42	Deferred Maintenance ADA Impvt Grants to Service Providers & Beneficiaries	DHSS/Facilities	C	-	-	-	1,500.0	-
43	Essential Program Equipment Match	DHSS/Facilities	C	-	-	-	-	-
44	Coordinated/Non-coordinated Transportation & Assessment	DOTPF	C	-	-	-	1,000.0	-
45	TelePractice Project Start-Up	DHSS/DHB	C	-	-	-	-	-
46	<b>GCDSE Subtotal</b>			<b>280.0</b>		<b>280.0</b>	<b>4,925.0</b>	<b>-</b>
47								
48	<i>Alaska Brain Injury Network</i>							
49	Brain Injury Network Resource Navigation (also called Outreach LY)	ABIN	AG	136.0	-	136.0	-	-

*Handwritten signature and date: 1/20/09*

	A	B	C	D	E	F	G	H	I
5		Advisory Board Requests			FY2010	FY2010 orig	FY2011	FY2010	
6			Dept/RDU		MHTAAR/AG			GF/MH	Other
50		Traumatic Brain Injury Service Coordination	DHSS/DSDS/Admin	O	150.0		150.0	50.0	-
51									
52		ABADA Subtotal			286.0		286.0	50.0	-
53									
54		Advisory Board Total			1,366.0	1,366.0	1,366.0	13,150.0	-

*Andrew*  
*1/20/09*

**Department of Revenue  
Child Support Services  
Child Support Services Division**

<b>Subject of RPL:</b> Federal Incentive Receipts	<b>ADN/RPL #:</b> 04-0-1008
<b>Amount Requested:</b> \$555,629	<b>Appropriation Authority:</b> Sec. 1, Ch. 12, SLA 2009, Page 37, Lines 28-29
<b>Funding Source:</b> CSSD Federal Incentive Payments - Operating	<b>Statutory Authority:</b> AS 25.27 Child Support Services Agency; AS 25.25 Uniform Interstate Family Support Act

**Legislative Fiscal Analyst Comment:** Approval of this RPL will address an audit finding involving a reporting error to the federal government. In FFY07, CSSD was notified that they were eligible to receive federal incentive payments earned from FFY04 and FFY05. These payments were collected by CSSD in FFY07 and reported in quarterly statements to the federal government. Reporting the receipt of the funding earned from prior years (in FFY07) caused an apparent “over-draw” of Alaska’s incentive funding for that particular year. There was no actual overdraft, but Alaska reported in a way that did not meet federal expectations.

CSSD was notified of the problem in December of 2008. They have been working with the federal government since then to avoid repayment of the draw (since it’s a reporting issue, not an actual overdraft). The federal government recently determined that a paper trail of repayment is necessary. Upon approval of this RPL, CSSD will repay the overdrawn amount and then withdraw the same amount. There will be no net impact on the CSSD program.

Without additional expenditure authority, repayment will occur from existing federal incentive payment authorization, leaving CSSD with insufficient authorization to draw the repaid money in the current fiscal year. State funds (RSS) would need to be utilized to replace the “missing” incentive receipts.

This RPL will result in additional expenditures by CSSD in FY2010. Those expenditures, however, are to fix the one-time accounting error and won’t result in any program expansion.

**PURPOSE**

The Department of Revenue, Child Support Services Division (CSSD) requests authority to receive and expend federal incentive receipts during FY2010. CSSD earned these incentive dollars by meeting the established federal performance incentives during prior federal fiscal years. Funding will be used for operating expenditures and will

Agency Contact: Ginger Blaisdell: (907) 465-2312  
LFD Analyst: Rob Carpenter: (907) 465-5413

reduce the division's need to use state Receipt Supported Services funding. During FY2010, federal incentive receipts can also be used by CSSD as match to federal receipts received through the federal office of Child Support Enforcement. The current match requirement is 34%.

### **PREVIOUS LEGISLATIVE CONSIDERATION**

This is a new request for FY2010 and was not considered by the Finance committees during previous legislative sessions. CSSD currently has \$1,800,000 appropriated in federal incentive receipts for FY2010; this request is the amount the division estimates it will earn in incentives during the current federal fiscal year.

### **TIMING ISSUES**

Due to the complexity of the federal incentive system and the amount of time required by the federal government to audit, validate and compute the incentives, the amount of incentive money the state will receive is not known until a year or more after the incentive statistics have been submitted to the federal government. The amount earned is determined by:

1. How well Alaska performs in meeting the federal incentive standards;
2. How well all of the other states perform in meeting the federal incentive standards;
3. If any states fail the data reliability audits performed by the federal government, causing them to lose some portion of their incentives. These amounts would then be available in computing the incentives for all the other states; and
4. Alaska's percentage of collections when compared to other states collections.

CSSD earned more incentive funding than it had collected in FFY04 and FFY05 so in FFY07 the earned incentive money was drawn down from the federal incentive account. Following a federal audit, it was determined that the division should not have reported incentives collected for the earlier years and now CSSD must repay federal funds.

CSSD has additional incentive money available to draw and needs additional authorization in the FY2010 budget to repay the federal office of Child Support Enforcement. CSSD will have the opportunity to collect the incentive funds lost in this transaction again at a later date, however, the \$555,629 must be paid back prior to the end of the federal fiscal year on September 30, 2009.

Federal incentive funds are available now and are being held pending the outcome of this request. Disapproval of this RPL would result in CSSD expending state funds where federal incentive funds should be used. Expending state funds could result in a supplemental request later this fiscal year.

**BUDGETARY ISSUES**

This funding will not result in additional expenditures by CSSD but is a fund source change. The current budget impact of receiving and expending additional incentive monies will be to reduce the amount of state money (RSS) needed to match federal receipts in FY2010. There will be no impact on indirect cost recovery, positions, or staff months.

***Legislative Fiscal Analyst Comment:* Although the use of federal incentive receipts as state match has been historically allowed by the federal government, a recent change in the federal rules disallowed their use. The ARRA bill placed a temporary moratorium on the rule change, which allows them to be used as match through federal fiscal year 2010. As the moratorium expires, CSSD will require additional state funds to maximize federal revenue. This should be expected in the FY2011 budget.**



DEPARTMENT OF HEALTH & HUMAN SERVICES

ADMINISTRATION FOR CHILDREN AND FAMILIES  
370 L'Enfant Promenade, S.W.  
Washington, D.C. 20447

December 08, 2008

Manager, Division of Finance  
Alaska Department of Revenue  
Child Support Enforcement Division  
550 West 7th Ave., Suite 310  
Anchorage, AK 99501

**Re: Notice of Grant Award  
Child Support Enforcement Program  
FY 2007**

Dear Grantee:

The following amount is being awarded for the Federal share of expenditures for the fiscal quarter indicated for the Child Support Enforcement Program under Title IV-D of the Social Security Act. The enclosed "Computation of Grant Award" explains the calculation of the award amount.

<b>Award Amount:</b>	<b>(\$555,629)</b>
Fiscal Quarter:	07/01/2007 - 09/30/2007

Catalog of Federal Domestic Assistance (CFDA) Program Number:	93.563
Entity Identification Number (EIN):	1-926001185-A3

By accepting this award, the State agrees to use these funds in accordance with the provisions of its approved State plan for this program, with all applicable Federal laws, regulations and policies, including financial reporting requirements, and with the terms and conditions governing this program and governing the use of Federal funds. The State also agrees to diligently meet the requirement to properly identify, monitor and treat sub recipients of Federal funds as described in the program terms and conditions. Any expenditure made in violation of Federal requirements is subject to disallowance by this agency, including the imposition of interest charges under 45 CFR 30.13 and 30.14.

In addition, the State agrees to comply with the provisions of the Cash Management Improvement Act (31 CFR Part 205) that limit the amount of requests to draw Federal funds to the minimum amount necessary to meet actual and immediate program needs. Although funds included in this award may not be drawn down prior to the first day of the fiscal quarter indicated above and withdrawals may not exceed the total authorized in this and previous awards, unused award authority may be carried forward and used in subsequent quarters. Failure to adhere to funds withdrawal and reporting requirements may result in the unobligated portion of your letter-of-credit being revoked.

Grant funds are made available through the HHS Payment Management System (PMS). Questions concerning payments should be directed to: Division of Payment Management, PO Box 6021, Rockville, Maryland 20852 (Internet web site: <http://www.dpm.psc.gov>), or to the PMS Help Desk at (877) 614-5533. Other questions should be directed to the Regional Administrator, Administration for Children and Families.

Sincerely,

*Joseph M. Loneragan*  
Joseph M. Loneragan  
Director  
Division of Mandatory Grants

RECEIVED

DEC 11 2008

Enclosure

SSD - DIRECTOR

# Computation of Grant Award

Child Support Enforcement  
 Alaska

Net Admin. TOTAL

## Federal Share of Expenditures

1. Allowable State Claims
  - a. Current Quarter Claims
  - b. Prior Quarter Adjustments
  - c. Reinstatements
  - d. Deferrals And Disallowances
  - e. Fees And Collections
  - f. Previously Awarded Expenditure
- g. Net Claim ((1a+1b+1c) - (1d+1e+1f))

2. Funds Advanced to State for

3. Other Adjustments (555,629) (555,629)

4. Expenditure Awarded This Action ((1g-2)+3) (555,629) (555,629)

## Federal Share of Estimates

5. Funds being Advanced to State for

- a. Next Quarter Estimate
- b. Collections
- c. Previously Awarded Estimate

6. Estimate Awarded this Action ((5a-5b)-5c) 0 0

7. Total Certified for Grant Award (4+6) (\$555,629) (\$555,629)

## Accounting Data

Appropriation	CAN	Grant Document	Amount
75-X-1501	2007 G9907CS	0704AK4004	(\$555,629)

## Remarks

This is your fiscal year 2007 adjusted incentive award based on the amount of incentive earned by the State minus the estimated amount of incentive retained by the State. See attached spreadsheet for details.

**FY 2007 Incentive Payment Calculation  
Under Section 458A of the Social Security Act**

State: ALASKA

**A. Collection Base**

<u>Line/Column, Form OCSE-34A</u>	<u>Total Reported by State</u>	<u>Line/Column, Form OCSE-34A</u>	<u>Total Reported by State</u>
5/A, IV-A Assistance to Other States	\$1,882,478	5/F, Never Assistance to Other States	\$7,457,264
5/B, IV-E Assistance to Other States	\$118,097	8/F, Distributed Never Assistance	\$44,068,568
5/C, IV-A Former Assistance to Other States	\$2,385,346	13/G, Fees Retained	\$10,720
5/D, IV-E Former Assistance to Other States	\$4,106		
5/E, Medicaid Assistance to Other States	\$116,908		
8/A, Distributed IV-A Assistance	\$3,134,788		
8/B, Distributed IV-E Assistance	\$582,932		
8/C, Distributed IV-A Former Assistance	\$41,722,927		
8/D, Distributed IV-E Former Assistance	\$1,219,549		
8/E, Distributed Medicaid Assistance	\$159,267		
<b>Total</b>	<b>\$51,326,398</b>	<b>Total</b>	<b>\$51,536,552</b>
		<b>x 2 =</b>	<b>\$102,652,796</b>
		<b>State Collection Base :</b>	<b>\$154,189,348</b>

**B. State Performance Measures**

<u>1a. Paternity Establishment Performance Level - IV-D PEP</u>			
<u>Line/Column, Form OCSE-157</u>	<u>Total Reported by State</u>		
6/a, OOW Children w/ Paternity		Paternity Performance Level %	
5/a, OOW Children, Last FY		Applicable %, This Measure	
		Max Incentive Base, This Measure *	
			* Applicable % x State Coll. Base
<u>1b. Paternity Establishment Performance Level - Statewide PEP</u>			
9/a, OOW Children w/ Paternity	3,665	Paternity Performance Level %	91.6
8/a, OOW Children, Last FY	4,002	Applicable %, This Measure	100
		Max Incentive Base, This Measure *	\$154,189,348
			* Applicable % x State Coll. Base
<u>2. Support Order Performance Level</u>			
2/b+c+d, Cases w/ Support Order	41,643	Order Est. Performance Level %	92.3
1/b+c+d, Total Number of Cases	45,120	Applicable %, This Measure	100
		Max Incentive Base, This Measure *	\$154,189,348
			* Applicable % x State Coll. Base
<u>3. Current Payment Performance Level</u>			
25/b+c+d, Tot. Current Support Collected	58,172,990	Cur. Support Performance Level %	56.6
24/b+c+d, Total Current Support Owed	102,745,693	Applicable %, This Measure	66
		Max Incentive Base, This Measure *	\$101,764,970
			* Applicable % x State Coll. Base
<u>4. Arrearage Payment Performance Level</u>			
29/a, Cases Paying Arrears During FY	27,726	Arrear Supp Performance Level %	66.7
28/a, Cases w/ Arrears Due in FY	41,538	Applicable %, This Measure	76
		Max Incentive Base, This Measure *	\$87,887,928
			* Applicable % x (State Coll. Base x .75)
<u>5. Cost-Effectiveness Performance Level</u>			
5/G+8/G+13/G *, Total Collections	102,862,950	Cost-Effectiveness Ratio	4.41
9/A+9/C-1b/A-1b/C**, Total Expenditures	23,327,695	Applicable %, This Measure	80
		Max Incentive Base, This Measure *	\$92,513,609
			* Applicable % x (State Coll. Base x .75)

**C. Incentive Calculation**

a. Maximum Incentive Base, This State (sum of 1a through 5):	\$590,545,203
b. Maximum Incentive Base, All States:	\$155,495,238,876
c. FY 2007 State Incentive Payment Share (a / b):	0.38%
d. FY 2007 Incentive Payment Pool: 100.00% of 471,000,000	\$471,000,000
e. <b>REVISED</b> Portion of Incentive Payment Under Sec 458A Calculation (c x d):	\$1,788,780
f. FY 2005 Incentive Adjustment:	\$5,736
g. INCENTIVE PAYMENT (e + f):	\$1,794,516
h. Incentives retained by state:	\$2,350,145
i. Adjusted Award for Incentive for FY-2007 (g minus h):	(\$555,629)

Footnotes:

- (1) Applicable percentage for this measure is zero. State failed to meet either the required current year performance level or the required improvement level from the previous year. (See Sec 458A(b)(6)(A) through (E) and 45 CFR 305.33.)
- (2) Maximum incentive base amount for this measure is zero. State data has been determined to be not complete or not reliable. (See Sec. 468A(b)(5)(B) and 45 CFR 305.31(e).)

**Department of Education & Early Development  
Commissions and Boards  
Alaska State Council on the Arts**

<b>Subject of RPL:</b> NEA Partnership Agreements, Promotion of the Arts	<b>ADN/RPL #:</b> 05-0-0001
<b>Amount requested:</b> \$29,200	<b>Appropriation Authority:</b> Ch. 12, SLA 2009, Sec. 1, Page12, Line 23
<b>Funding source:</b> Federal Receipts - Operating	<b>Statutory Authority:</b> AS 44.27.040, AS 44.27.058

**PURPOSE**

The additional Federal Receipts authorization is necessary to include the latest grant award from the National Endowment of the Arts (NEA) program as the FY 2010 NEA grant award will exceed the department's initial expectation. Approval of this request will give the Alaska State Council on the Arts (ASCA) the ability to receive and expend the funds by disbursing them to eligible grant recipients, which includes a major Native Arts project, the statewide Poetry Out Loud high school poetry recitation competition, and support of other arts and culture organizations and artists in Alaska.

**PREVIOUS LEGISLATIVE CONSIDERATION**

The additional NEA grant projects were not previously considered as the department did not know about the additional NEA funds during the FY 2010 budget development last fall. There is currently \$700,000 federal funds appropriated for the NEA grant program. This request would increase ASCA's Federal authorization to \$729,200. This is the second RPL considered for additional Federal Receipts authorization. The first approved RPL increased authorization for the FY 2009 budget, which was then included in the FY 2010 budget.

**TIMING ISSUES**

The additional authority is not in the current FY 2010 budget because the FY 2010 NEA Partnership Grant had not yet been announced prior to the department's FY 2010 budget submission last fall. ASCA receives their annual grant award notice from the NEA in March for the following fiscal year. Attached is the March 27, 2009 email from NEA Director of State and Regional Partnerships, which details the intended grant award amount. The additional funding is a result of:

- 1) For the second year, ASCA has received an additional \$30,000 from the NEA Folk Arts program to support a major Native Arts project; and,
- 2) The NEA overall budget was increased by Congress, which pushed the NEA funds over the current ASCA authorization limit. The funds are available through a draw-

down grant through June 30, 2010. Although funding is aligned with the federal cycle; NEA administers this grant program based on the state fiscal year.

If this request is denied, it may impact future ASCA funding from the NEA. Should the department not have the authority to accept the additional funding, the NEA may not allocate any additional future NEA funding to ASCA where the grant requests already far exceed the grant awards. The NEA provides one half of the ASCA's annual support. In addition, without this increase in authority the ASCA would be unable to accept the balance of the partnership award from NEA.

### **BUDGETARY ISSUES**

This funding is directly aligned with the agency's mission and long term plans with regards to the NEA programs, as the mission of ASCA is to foster the development of the arts for all Alaskans through education, partnerships, grants and services.

The department has not yet expended any additional NEA funding. The program distribution of the NEA grant is detailed in the email from NEA mentioned above. There is no additional match requested for FY 2010. Authority for General Fund/Match will be reevaluated in FY 2011, and should an increase be required, it will be absorbed by the agency's existing authority. As always, NEA funds may not be used to replace existing state funds; nor is there an impact to personal services, indirect cost recovery, or fees for services.

***Legislative Fiscal Analyst Comment: The Department of Education & Early Development requested and received a Federal Receipts increment for FY2010 of \$56,500 in anticipation of an increase for National Endowment on the Arts Grants. However, this increment fell short of the actual grants amount by the \$29,200 Federal Receipts requested in this RPL. If approved, the line-item allocation will be \$19,800 Services and \$9,400 Grants. Existing funding will be used for match requirements.***

**From:** John Ostrout [mailto:ostroutj@arts.gov]  
**Sent:** Friday, March 27, 2009 12:06 PM  
**To:** Fox, Charlotte A (EED)  
**Subject:** NEA: Partnership Agreement Award Amount / Budget Due

To: Charlotte Fox  
Alaska State Council on the Arts

FROM: John E. Ostrout  
Director, State & Regional Partnerships

Subject: **Partnership Agreement Award Amount / Budget Due**

### 1. Award Amount

The NEA's National Council on the Arts concluded its 166<sup>th</sup> meeting on Friday, March 27. The Council recommended, and the Acting Chair approved, NEA FY 09 Partnership Agreement support for the Alaska State Council on the Arts for its FY 2010 programs and activities. The Council's recommendations were informed by the State Partnership Agreement panel meeting held January 27-30, 2009.

Your agency's Partnership Agreement award is structured as follows:

State Arts Plan Component: \$607,500, of which \$20,000 is for the support of Poetry Out Loud  
Arts Education Component: \$21,100  
Underserved Communities Component: \$70,600  
Folk Arts Infrastructure: \$30,000  
**Total State Partnership Agreement: \$729,200**

**Please Note:** this is not an official NEA grant award letter. This letter is merely to inform you of grant component amounts so you may complete the Partnership Agreement budget (see #2, below).

#### Background on How Amounts are Determined

States undergo full panel review every third year (on-year states) and are considered off-year states in the two intervening years.

Grant amounts include formula allocations that vary across the grant components – either equal amounts per state or a combination of equal amounts per state and an amount based on population. The Arts Education and Underserved Communities components also include small amounts of competitive support designed to recognize and reward excellence in those areas.

Formula allocations for all 56 states and jurisdictions are recomputed annually based on available funds and the most recent Census Department population figures.

We try to maintain the off-year states' competitive AIE and Underserved amounts that were determined when those states were last reviewed by the full panel. If the available competitive funds pool increases or decreases, the competitive amounts for each state are adjusted proportionately.

On-year states may see differences in their AIE or Underserved amounts, as this is the first time in three years that the competitive funds for this group has been re-assessed. With so many states making great strides in their work, the competitive funds are being shared among more recipients.

## **2. Partnership Agreement Application Phase 2 – Budget Submission – By Friday, April 17, 2009**

You completed Phase 1 of the application process in October when you submitted your Partnership Agreement narrative and any required support material. Now, you must complete Phase 2 of the Partnership Agreement application process by submitting the Partnership Agreement budget form, available at: <http://www.nea.gov/grants/apply/Partnership/index.html> .

The deadline of April 17 was set so that our office and the Grants Office have sufficient time to process your award in advance of your project start date. Please respect the timeline.

Be sure to read the accompanying Instructions document before you begin.

Feel free to contact me at 202-682-5753 or [ostroutj@arts.gov](mailto:ostroutj@arts.gov) or Andi Mathis at 202-682-5430 or [mathisa@arts.gov](mailto:mathisa@arts.gov) if you have questions.

**Department of Education & Early Development  
Alaska Library and Museums  
Archives**

<b>Subject of RPL:</b> Alaska State Historical Records Advisory Board	<b>ADN/RPL #:</b> 05-0-0027
<b>Amount requested:</b> \$ 22,000	<b>Appropriation Authority:</b> Ch. 12, SLA 2009, Sec. 1, Page 13, Line 4
<b>Funding source:</b> Federal Receipts (National Historical Publications & Records Commission) - Operating	<b>Statutory Authority:</b> AS 40.21.030

**PURPOSE**

The additional Federal Receipts authorization is necessary to match the grant award from the National Historical Publications and Records Commission (NHPRC) for FY 2010 which exceeds the program authorization limit. Approval of this request will give the Alaska State Historical Records Advisory Board (ASHRAB) the funds to provide statewide training in the preservation of archival records and grant writing.

**PREVIOUS LEGISLATIVE CONSIDERATION**

Finance committees did not consider this increase as the levels of funding available from NHPRC had not been established. The current federal receipt authorization to the Archives component is \$40,000. This request would increase the Archives federal receipt authorization to \$62,000 (the amount of the final grant awarded is \$61,980). There have been no RPLs previously considered for additional federal receipts authorization.

**TIMING ISSUES**

Funding is not in the FY 2010 budget because the FY10 NHPRC Grant had not been announced prior to the department's FY 2010 budget submission. The Archives component receives the annual award notification from NHPRC in early summer each year, and this grant cycle begins in January 2010. The grant cycle runs for 18 months, ending June 30, 2011.

**BUDGETARY ISSUES**

The funding is directly aligned with the ASHRAB's mission and long term plans that the collection and preservation of historical records, Alaska's priceless legacy, are fundamental to understanding our past and guiding our future. For more information regarding ASHRAB, the 5 year plan "The Future of Alaska's Past: Plan to Preserve Alaska's Documentary Heritage 2009-2014" is available upon request. Attached are the narrative and budget portions of the grant as submitted to NHPRC, and their approval letter of the grant award. There is no additional General Fund/Match requested with this FY 2010 request. Future budget impacts include an additional Federal Receipts authorization request in FY 2011, estimated to be \$25,000, to add to the current allocation of \$40,000 for a total of \$65,000. Authority for General Fund/Match will be reevaluated in FY 2011, and should an increase be required, it will be absorbed by the agency's existing authority.

Agency Contact and Telephone: Glenn S. Cook, State Archivist: (907) 465-2275  
LFD Analyst: Danith Watts: (907) 465-5435

In the past ASHRAB has been very limited in funds to assist archival programs with training throughout the state to help improve the preservation of archival collections. Travel is a key component to the cost of providing this training. By requesting and receiving additional NHPRC grant awards ASHRAB will be able to assist archival programs that otherwise would not receive the training required to improve the way cultural heritage is maintained throughout Alaska.

***Legislative Fiscal Analyst Comment:* For FY2010, the Department of Education & Early Development requested and received \$40,000 Federal Receipts for the Archives allocation. (This amount has remained unchanged since FY2005.) On June 15, 2009, the state was notified that the National Historical Publications and Records Commission awarded an outright grant of \$61,980 to provide statewide training in the preservation of archival records and grant writing. An additional cost sharing amount of \$70,178 GF (already included in the FY2010 budget allocation) will be dedicated by the Department to provide total project funding of \$132,158.**

## SECTION B

### SUMMARY BUDGET

Transfer from Section A the total costs (column C) for each category of project expense. When the proposed grant period is eighteen months or longer, project expenses for each twelve-month period are to be listed separately and totaled in the last column of the summary budget. For projects that will run less than eighteen months, only the last column of the summary budget should be completed.

<i>Budget categories</i>	First year from: 01/01/2010 thru: 12/31/2010	Second year from: 01/01/2011 thru: 06/30/2011	Third year from: thru:	TOTAL COSTS FOR ENTIRE GRANT PERIOD
1. Salaries and wages	\$ 29,824	\$ 14,998	\$ 0	= \$ 44,822
2. Fringe benefits	\$ 11,930	\$ 5,999	\$ 0	= \$ 17,929
3. Consultant fees	\$ 0	\$ 0	\$ 0	= \$ 0
4. Travel	\$ 27,200	\$ 8,280	\$ 0	= \$ 35,480
5. Supplies and materials	\$ 1,620	\$ 360	\$ 0	= \$ 1,980
6. Services	\$ 1,800	\$ 0	\$ 0	= \$ 1,800
7. Other costs	\$ 23,700	\$ 3,100	\$ 0	= \$ 26,800
8. Total direct costs (Items 1-7)	\$ 96,074	\$ 32,737	\$ 0	= \$ 128,811
9. Indirect costs	\$ 2,765	\$ 582	\$ 0	= \$ 3,347
10. Total project costs (direct and indirect)	\$ 98,839	\$ 33,319	\$ 0	= \$ 132,158

### PROJECT FUNDING FOR ENTIRE GRANT PERIOD

1. Indicate the amount of outright and/or federal matching funds that is requested from NHPRC.
2. Indicate the amount of cash contributions that will be made by the applicant and cash and in-kind contributions made by third parties to support project expenses that appear in the budget. Cash gifts that will be raised to release federal matching funds should be included under "Third-party contributions." (Consult the program guidelines for information on cost sharing requirements.) When a project will generate income that will be used during the grant period to support expenses listed in the budget, indicate the amount of income that will be expended on budgeted project activities. Indicate funding received from other federal agencies.
3. Total Project Funding should equal Total Project Costs.

#### 1. REQUESTED

Outright	\$ 61,980
Federal Matching	\$ 0
<b>TOTAL FUNDING</b>	\$ 61,980

#### 2. COST SHARING

Applicant's contributions	\$ 70,178
Third-party contributions	\$ 0
Project income	\$ 0
Other federal agencies	\$ 0
<b>TOTAL COST SHARING</b>	\$ 70,178

**3. TOTAL PROJECT FUNDING (Total Funding + Total Cost Sharing) :** \$ 132,158



## National Historical Publications and Records Commission

**National Archives and Records Administration**

700 Pennsylvania Avenue, NW

Washington, DC 20408-0001

[www.archives.gov/nhprc/](http://www.archives.gov/nhprc/)

June 15, 2009

Glenn Cook  
State Archivist  
Alaska State Archives  
Department of Education and Early Development  
PO Box 110525  
Juneau, AK 99811-0525

Dear Mr. Cook:

Upon the recommendation of the National Historical Publications and Records Commission, I am pleased to offer a grant of up to \$61,980 to the Alaska Department of Education and Early Development for a State Board SNAP Grant (NHPRC Application No. RC-10046). This outright grant is for approximately 48 percent of the total project cost. The offer is \$3,347 less than the \$65,327 you requested for the project and reflects the Commission's wish not to provide grant funds for indirect costs.

To formally accept this offer you must:

- Return the attached acknowledgement, signed by your Authorized Representative, agreeing to comply with all applicable Federal grants management and NHPRC rules and regulations. These are specified on our web site at <http://www.archives.gov/nhprc/>; and in the Code of Federal Regulations (36 CFR 1206-1212).
- Finalize your project's performance objectives with your program officer. This includes acknowledgement that you will pay your share of total project costs.
- Verify your organization's current registration in the Central Contractor Registration. Verification, including updating information for your current financial institution, must be completed before NHPRC can initiate your grant. For further information and instructions, please see our web page at <http://www.archives.gov/nhprc/administer/payment-instructions.html>.

You will be issued a formal grant letter only upon acceptance of this offer, acknowledged by your authorized representative's signature on the enclosed form, and by our mutual agreement to the project's performance objectives. You must accept this offer no later than June 30, 2009, or the Commission may withdraw the offer. In addition, you must submit the following overdue report from your current grant:

RC-10043-09: An interim narrative report for the period June 1 – November 30, 2008

Congratulations on your successful application to the Commission. If you have any questions, please contact Daniel Stokes by phone at (202) 357-5487 or by email at [daniel.stokes@nara.gov](mailto:daniel.stokes@nara.gov)

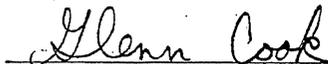
Sincerely,



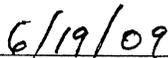
Kathleen Williams  
Executive Director  
National Historical Publications and Records Commission

NHPRC Application No.RC-10046

On behalf of the Alaska Department of Education and Early Development and its State Board SNAP Grant, I accept this offer of a grant from the NHPRC and agree to comply with all Federal grants management and NHPRC rules and regulations that apply to it.



Glenn Cook,  
Authorized Representative



Date

**Sign and date this form and return it to the NHPRC by June 30, 2009 via fax or email only:**

**Fax: 202-357-5914**

**OR**

**Email: Nathan Sowry, [Nathan.Sowry@nara.gov](mailto:Nathan.Sowry@nara.gov)**

**Department of Health and Social Services  
Behavioral Health  
Rural Services & Suicide Prevention**

<b>Subject of RPL:</b> FY10 Title 47 Secure Detox – Rural Substance Abuse Treatment Planning	<b>ADN/RPL #:</b> 06-0-0020
<b>Amount requested:</b> \$100,000	<b>Appropriation Authority:</b> Ch. 13, SLA 2009, Sec. 1, page 5, line 27
<b>Funding source:</b> MHTAAR- Operating	<b>Statutory Authority:</b> AS 37.14.001-099 and AS 47.30

**PURPOSE**

The Department of Health and Social Services, Division of Behavioral Health and the Alaska Mental Health Trust Authority (The Trust) request expenditure authority in the amount of \$100,000 in Mental Health Trust Authority Authorized Receipts (MHTAAR) to support the Division of Behavioral Health (DBH) staff in pre-development and planning activities for developing/enhancing a continuum of substance abuse treatment services in rural Alaska, including secure treatment capacity under Title 47.

**PREVIOUS LEGISLATIVE CONSIDERATION**

Trustees of the Alaska Mental Health Trust Authority approved this expenditure in its FY2010 recommendations. It was not included in the Mental Health Budget bill. DHSS and The Trust are supportive of access to a continuum of substance abuse treatment services for Alaskans in urban and rural communities including secure treatment capacity under Title 47.

**Legislative Fiscal Analyst Comment:** The Trust recommended \$100.0 of MHTAAR funding for this program in the FY2010 budget but the Governor did not forward the request to the legislature. Legislative Finance typically attempts to point out instances where the Trust (or other agencies) “back-fill” after the budget process to fund projects that were denied funding by the legislature. In this case, the request was not discussed by legislative subcommittees and this RPL is not an attempt to circumvent the legislative process.

**TIMING ISSUES**

The recommended FY2010 MHTAAR increment will fund the continued predevelopment and planning activities for the Nome region that began in FY2009, for a continuum of substance abuse treatment services in rural Alaska, including secure treatment capacity under Title 47.

The continuation of these activities is critical, as the Norton Sound Health Corporation and the community of Nome are currently assessing how to use the existing Norton Sound Regional Hospital facility once the hospital services are moved into the new hospital facility. Construction of the new hospital is projected to be complete in 2013. The potential of using the existing

Agency Contact: Steve Williams, Alaska Mental Health Trust Authority: (907) 269-7697

Alison Elgee, DHSS Assistant Commissioner: (907) 465-1630

LFD Analyst: Gary Zepp: (907) 465-5410

hospital, once it is vacated, for substance abuse treatment services is a target of opportunity that cannot be missed. In fact, this opportunity has re-energized the community and region into improving its strategies to address substance abuse issues. In the last fiscal year there has been considerable and consistent involvement in these activities including representatives from: the City of Nome, the Nome Police Department, the Norton Sound Health Corporation - Behavioral Health Services, Board members from the Norton Sound Health Corporation, the Norton Sound regional Hospital, the Kawerak Inc, Nome Regional Wellness Forum, the State Departments of Corrections and Health and Social Services, the State Public Defender Agency, the Alaska Mental Health Trust Authority, and local community members. It is imperative to continue this dialogue and potential use for the hospital in the future; otherwise, identified services may require significant capital expenditures for new facilities.

### **BUDGETARY ISSUES**

This project and funding is aligned with the department's goal to manage an integrated and comprehensive behavioral health system based on sound policy, effective practices, and open partnerships. The funding will enable the department and division's contribution to the goals of reducing the abusive use of alcohol and other drugs, to protect Alaskan's health, safety, and quality of life, and to protect vulnerable adults from harm and avoidable arrests.

Of the \$100,000 requested, \$12,000 is budgeted for travel, and \$88,000 is budgeted for a grant to the Norton Sound Health Corporation. There are no current general fund impacts, no impact on positions or staff months, and no impact to the FY2011 DBH budget request.

Agency Contact: Steve Williams, Alaska Mental Health Trust Authority: (907) 269-7697  
Alison Elgee, DHSS Assistant Commissioner: (907) 465-1630  
LFD Analyst: Gary Zepp: (907) 465-5410

*6/10/09  
Jeffrey*

A	B	C	D	E	F	G
	<b>Alaska Mental Health Trust Authority</b>					
	<b>FY2010/FY2011 Budget Sheet</b>					
	<b>For January 2009 Full Board of Trustee Meeting</b>					
5		FY2010	FY2010 Orig MHTAAR/AG	FY2011	GF/MH	Other
6						
7						
8						
9						
10	Trust & TLO operating/capital	5,273.4	5,463.3	5,337.9	-	-
11						
12	Continuing Projects	3,288.5	3,888.5	3,920.5	-	-
13						
14	Focus Areas:					
15	Bring the Kids Home	1,870.0	2,020.0	2,170.0	6,416.8	2,566.8
16	Disability Justice	2,155.8	2,357.8	2,106.3	986.1	12.5
17	Housing	3,910.0	4,335.0	4,410.0	1,550.0	13,450.0
18	Trust Beneficiary Projects	3,762.4	3,962.4	3,942.4	150.0	200.0
19	Workforce Development	2,619.2	3,301.7	3,183.1	1,782.5	192.0
20						
21	Advisory Board Requests	1,366.0	1,366.0	1,366.0	13,150.0	-
22						
23						
24	<b>Total</b>	<b>24,245.3</b>	<b>26,694.7</b>	<b>26,436.2</b>	<b>24,035.4</b>	<b>16,421.3</b>
25						
26	<b>Amount Available for Allocation</b>	<b>23,954.8</b>		<b>27,653.2</b>		
27						
28	<b>Uncommitted Funds</b>	<b>(290.5)</b>		<b>1,217.0</b>		
29						
30						
31						
32						
33	Operating	14,061.0		15,071.1		
34	Capital	2,780.0		2,780.0		
35	Total MHTAAR	16,841.0		17,851.1		
36	Authority Grants	7,404.3		8,585.1		
37	<b>Total</b>	<b>24,245.3</b>		<b>26,436.2</b>		

A	B	C	D	E	F	G	H	I
5	Advisory Board Requests			FY2010	FY2010 orig	FY2011	FY2010	
6		Dept/RDU			MHTAAR/JAG		GF/MH	Other
7	<i>Board: Alaska Commission on Aging</i>							
8	Adjust Rates for Family Caregivers, Nutrition, Transportation and Support Svcs	DHSS/DSDS/Sr Grants	O	-		-	2,000.0	-
9	Aging & Disability Resource Centers	DHSS/DSDS/Sr Grants	O	125.0		125.0	375.0	-
10	Senior BH Svc - IMPACT		AG	100.0		100.0	-	-
11	Senior BH Svc - SBirt		AG	100.0		100.0	-	-
12	Senior BH Svc - Telebehavioral Health for Seniors	DHSS/API	O	-		-	150.0	-
13	COMPAN project (Protect Vulnerable Adults)	DHSS/DSDS/Admin	O	-		-	100.0	-
14	Fall-Safe Project	DHSS/Boards/ACoA	O	-		-	75.0	-
15	Healthy Body, Healthy Brain Campaign	DHSS/Boards/ACoA	O	-		-	-	-
16	ACoA Subtotal			325.0		325.0	2,700.0	-
17								
18	<i>Board: Alaska Mental Health Board and Advisory Board on Alcoholism &amp; Drug Abuse</i>							
19	Grants for community-based substance abuse services	DHSS/DBH/BH grants	O	-		-	1,750.0	-
20	Grants for community behavioral health services	DHSS/DBH/BH grants	O	-		-	1,750.0	-
21	Title 47 Secure Detox Treatment (Clitheroe)	DHSS/DBH/BH grants	O	-		-	1,025.0	-
22	Title 47 Secure Detox Treatment (rural treatment planning)	DHSS/DBH/BH grants	O	100.0		100.0	-	-
23	Transition to Full Time Work project	DHSS/DBH/BH grants	O	-		-	-	-
24	Psychiatric Emergency Services: DES/DET Expansion	DHSS/DBH/DET	O	300.0		300.0	950.0	-
25	Suicide Prevention Resource Development	DHSS/DBH/Rural Svcs & Suicide Prev	O	75.0		75.0	-	-
26								
27	AMHB Subtotal			475.0		475.0	5,475.0	-
28								
29	<i>Board: Governor's Council on Disabilities &amp; Special Education</i>							
30	Alaska Autism Resource Center/ Center for Autism Training, Resources & Parent Support	DEED/Student & School Achievement	O	200.0		200.0	150.0	-
31	Expanded Autism Diagnostic Clinic	DHSS/Public Health/ Women & Child	O	-		-	125.0	-
32	Early Intervention/Infant Learning program	DHSS/OCS/ILP	O	-		-	1,500.0	-
33	Behavior intervention & Supports for Early Childhood System	DHSS/OCS	O	80.0		80.0	-	-
34	Rural Secondary Transition Project	DEED/Student & School Achievement	O	-		-	150.0	-
35	Alaska Transition Training Initiative	DHSS/OCS/ILP	O	-		-	-	-
36	Assistive Technologies Funding	DEED	O	-		-	-	-
37	Vocational Rehabilitation Transition Services	DOL/Voc Rehab	O	-		-	-	-
38	Conference: Prep to assist senior & benef. In community emergencies	DHSS/Boards/GCDSE	O	-		-	-	-
39	Boom: 10-Yr Beneficiary Needs Projection	DHSS/Boards/GCDSE	C	-		-	-	-
40	Crisis Response Consultation Team	DHSS/DSDS/Sr grants	O	-		-	500.0	-
41	Assuring Better Child Development (ABCD) Expansion	DHSS/OCS	O	-		-	-	-
42	Deferred Maintenance ADA Impvt Grants to Service Providers & Beneficiaries	DHSS/Facilities	C	-		-	1,500.0	-
43	Essential Program Equipment Match	DHSS/Facilities	C	-		-	-	-
44	Coordinated/Non-coordinated Transportation & Assessment	DOTPF	C	-		-	1,000.0	-
45	TelePractice Project Start-Up	DHSS/DHB	C	-		-	-	-
46	GCDSE Subtotal			280.0		280.0	4,925.0	-
47								
48	<i>Alaska Brain Injury Network</i>							
49	Brain Injury Network Resource Navigation (also called Outreach LY)	ABIN	AG	136.0		136.0	-	-

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	A	B	C	D	E	F	G	H	I
5		Advisory Board Requests			FY2010	FY2010 orig	FY2011	FY2010	
6			Dept/RDU		MHTAAR/JAG			GF/MH	Other
50		Traumatic Brain Injury Service Coordination	DHSS/DSDS/Admin	O	150.0		150.0	50.0	-
51									
52		ABADA Subtotal			286.0		286.0	50.0	-
53									
54		Advisory Board Total			1,366.0	1,366.0	1,366.0	13,150.0	-

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**Department of Health and Social Services  
Behavioral Health  
Rural Services & Suicide Prevention**

<b>Subject of RPL:</b> FY10 Suicide Prevention Resource Development	<b>ADN/RPL #:</b> 06-0-0021 (revised 8-6-2009)
<b>Amount requested:</b> \$75,000	<b>Appropriation Authority:</b> Ch. 13, SLA 2009, Sec. 1, Page 5, Line 27
<b>Funding source:</b> MHTAAR- Operating	<b>Statutory Authority:</b> AS 37.14.001-099 and AS 47.30

**PURPOSE**

The Department of Health and Social Services, Division of Behavioral Health and the Alaska Mental Health Trust Authority (the Trust) request expenditure authority in the amount of \$75,000 in Mental Health Trust Authority Authorized Receipts (MHTAAR) to fund Suicide Prevention Resource Development – specifically the support and expansion of the Gatekeeper program, web site development for early identification, community referral and hosting of prevention resource materials.

The Gatekeeper Suicide Prevention Training program was developed as an early intervention tool to train identified individuals as “gatekeepers”. These individuals may likely be the first person to be in contact with a suicidal person or someone who is experiencing depression, despair and hopelessness. Gatekeepers are trained in signs of suicidal behavior, behaviors or actions to look for, and listening and referral skills to assist someone who may be considering suicide. They may be the first responder in a community—a behavioral health aide, public safety officer, health care provider, person of faith, school personnel or others. Gatekeepers become a community of people who can support, assist and refer those individuals struggling with suicidal thoughts.

The Gatekeeper program is a Training of Trainers (TOT) model with the goal of having a cadre of Gatekeeper Trainers across the state and across disciplines. Over 30 individuals have been trained as Gatekeeper trainers, who in turn have trained over 300 individuals as “gatekeepers” for their community. Those trained are community-based individuals mostly from non-profit agencies, but we have also trained some state employees from partner agencies (Juvenile Justice, Public Health, Children’s Services).

***Legislative Fiscal Analyst Comment: The Committee may want to know when the Gatekeeper program was started in Alaska and where the 300 individual gatekeepers are located. In addition, information regarding the impact gatekeepers have had (or are expected to have) in reducing Alaska’s high suicide rate might be helpful.***

**PREVIOUS LEGISLATIVE CONSIDERATION**

Trustees of the Alaska Mental Health Trust Authority approved this expenditure in its FY2010 Recommendations. It was not included in the Mental Health Budget bill. DHSS and the Trust are supportive of this prevention program as a valuable strategy to impact Alaska’s high rates of suicide.

Agency Contact: Katie Baldwin Johnson, Alaska Mental Health Trust Authority: (907) 269-1049  
Alison Elgee, DHSS Assistant Commissioner: (907) 465-1630  
LFD Analyst: Gary Zepp: (907) 465-5410

**Legislative Fiscal Analyst Comment: The Trust requested \$75.0 of MHTAAR funding for this project but the Governor did not forward the request to the legislature. Legislative Finance typically attempts to point out instances where the Trust (or other agencies) “back-fill” after the budget process to fund projects that were denied funding by the legislature. In this case, the request was not discussed by legislative subcommittees and this RPL is not an attempt to circumvent the legislative process.**

## **TIMING ISSUES**

- DBH anticipates these funds will enable the division to establish a suicide prevention website where persons who have completed Gatekeeper training are then able to access relevant training and prevention resources to utilize while training others in their local communities.
- Alaska’s high suicide rate is roughly twice the national average and higher in some rural areas. Since December of 2008, Alaska has witnessed a series of cluster suicides in northwest and southeast communities. Providing an established, organized method of disseminating Gatekeeper materials will support the division’s strategy to locate Gatekeeper trainers within each community to expand prevention efforts at a local level.
- Documentation of the Trust Board’s authorization of the expenditure is attached to this RPL.

The funds will be available upon approval by LBA and expended within FY2010. This increment will allow us to expand the training to those communities currently without a Gatekeeper trainer (we will be doing an assessment to identify those communities), and these funds will allow us to provide increased support to our cadre of trainers through an active list-serve, trainers web-page and regular trainer conference calls. We just completed our first Gatekeeper Trainer Summer Institute to provide training to 10 new trainers and refresher training to 10 previously trained individuals.

As part of our federal Garrett Lee Smith Youth Suicide Prevention grant, the Gatekeeper training model will be utilized with our 3 regional grantees (to be funded in September). In addition to a state evaluation of the Gatekeeper training, we will be part of a national cross-site evaluation of Gatekeeper training programs across the country.

**BUDGETARY ISSUES**

This project and funding is aligned with the department's goal to manage an integrated and comprehensive behavioral health system based on sound policy, effective practices, and open partnerships. The funding will enable the department and division's contribution to the goals of recognizing and addressing suicidal behavior, working with the State Suicide Prevention Council on a statewide prevention plan, and expand the Gatekeeper program for suicide prevention.

Of the \$75,000 requested, \$15,000 is budgeted for travel, and \$60,000 is budgeted for contractual. There are no current general fund impacts, no impact on positions or staff months, and no impact to the FY2011 DBH budget request.

The Gatekeeper effort will be continued through some funding from the Statewide Suicide Prevention Council, the Division of Behavioral Health and the federal Youth Suicide Prevention grant program. These funds will assist us to get a solid foundation built to sustain the ongoing training and trainer support needed to continue this program.

Agency Contact: Katie Baldwin Johnson, Alaska Mental Health Trust Authority: (907) 269-1049  
Alison Elgee, DHSS Assistant Commissioner: (907) 465-1630  
LFD Analyst: Gary Zepp: (907) 465-5410

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M. [unclear]*

A	B	C	D	E	F	G
2	Alaska Mental Health Trust Authority					
3	FY2010/FY2011 Budget Sheet					
4	For January 2009 Full Board of Trustee Meeting					
5		FY2010	FY2010 Orig	FY2011	FY2010	
6			MHTAAR/AG		GF/MH	Other
7						
8						
9						
10	Trust & TLO operating/capital	5,273.4	5,463.3	5,337.9	-	-
11						
12	Continuing Projects	3,288.5	3,888.5	3,920.5	-	-
13						
14	Focus Areas:					
15	Bring the Kids Home	1,870.0	2,020.0	2,170.0	6,416.8	2,566.8
16	Disability Justice	2,155.8	2,357.8	2,106.3	986.1	12.5
17	Housing	3,910.0	4,335.0	4,410.0	1,550.0	13,450.0
18	Trust Beneficiary Projects	3,762.4	3,962.4	3,942.4	150.0	200.0
19	Workforce Development	2,619.2	3,301.7	3,183.1	1,782.5	192.0
20						
21	Advisory Board Requests	1,366.0	1,366.0	1,366.0	13,150.0	-
22						
23						
24	<b>Total</b>	<b>24,245.3</b>	<b>26,694.7</b>	<b>26,436.2</b>	<b>24,035.4</b>	<b>16,421.3</b>
25						
26	<b>Amount Available for Allocation</b>	<b>23,954.8</b>		<b>27,653.2</b>		
27						
28	<b>Uncommitted Funds</b>	<b>(290.5)</b>		<b>1,217.0</b>		
29						
30						
31						
32						
33	Operating	14,061.0		15,071.1		
34	Capital	2,780.0		2,780.0		
35	Total MHTAAR	16,841.0		17,851.1		
36	Authority Grants	7,404.3		8,585.1		
37	<b>Total</b>	<b>24,245.3</b>		<b>26,436.2</b>		

A	B	C	D	E	F	G	H	I
5	Advisory Board Requests			FY2010	FY2010 orig	FY2011	FY2010	
6		Dept/RDU		MHTAAR/AG			GF/MH	Other
7	<i>Board: Alaska Commission on Aging</i>							
8	Adjust Rates for Family Caregivers, Nutrition, Transportation and Support Svcs	DHSS/DSDS/Sr Grants	O	-	-	-	2,000.0	-
9	Aging & Disability Resource Centers	DHSS/DSDS/Sr Grants	O	125.0	125.0	125.0	375.0	-
10	Senior BH Svc - IMPACT		AG	100.0		100.0	-	-
11	Senior BH Svc - SBirt		AG	100.0		100.0	-	-
12	Senior BH Svc - Telebehavioral Health for Seniors	DHSS/API	O	-	-	-	150.0	-
13	COMPAN project (Protect Vulnerable Adults)	DHSS/DSDS/Admin	O	-	-	-	100.0	-
14	Fall-Safe Project	DHSS/Boards/ACoA	O	-	-	-	75.0	-
15	Healthy Body, Healthy Brain Campaign	DHSS/Boards/ACoA	O	-	-	-	-	-
16	<b>ACoA Subtotal</b>			<b>325.0</b>		<b>325.0</b>	<b>2,700.0</b>	<b>-</b>
17	<i>Board: Alaska Mental Health Board and Advisory Board on Alcoholism &amp; Drug Abuse</i>							
18	<i>Board: Alaska Mental Health Board and Advisory Board on Alcoholism &amp; Drug Abuse</i>							
19	Grants for community-based substance abuse services	DHSS/DBH/BH grants	O	-	-	-	1,750.0	-
20	Grants for community behavioral health services	DHSS/DBH/BH grants	O	-	-	-	1,750.0	-
21	Title 47 Secure Detox Treatment (Clitheroe)	DHSS/DBH/BH grants	O	-	-	-	1,025.0	-
22	Title 47 Secure Detox Treatment (rural treatment planning)	DHSS/DBH/BH grants	O	100.0		100.0	-	-
23	Transition to Full Time Work project	DHSS/DBH/BH grants	O	-	-	-	-	-
24	Psychiatric Emergency Services: DES/DET Expansion	DHSS/DBH/DET	O	300.0		300.0	950.0	-
25	Suicide Prevention Resource Development	DHSS/DBH/Rural Svcs & Suicide Prev	O	75.0		75.0	-	-
26								
27	<b>AMHB Subtotal</b>			<b>475.0</b>		<b>475.0</b>	<b>5,475.0</b>	<b>-</b>
28	<i>Board: Governor's Council on Disabilities &amp; Special Education</i>							
29	<i>Board: Governor's Council on Disabilities &amp; Special Education</i>							
30	Alaska Autism Resource Center/ Center for Autism Training, Resources & Parent Support	DEED/Student & School Achievement	O	200.0		200.0	150.0	-
31	Expanded Autism Diagnostic Clinic	DHSS/Public Health/ Women & Child	O	-	-	-	125.0	-
32	Early Intervention/Infant Learning program	DHSS/OCS/ILP	O	-	-	-	1,500.0	-
33	Behavior Intervention & Supports for Early Childhood System	DHSS/OCS	O	80.0		80.0	-	-
34	Rural Secondary Transition Project	DEED/Student & School Achievement	O	-	-	-	150.0	-
35	Alaska Transition Training Initiative	DHSS/OCS/ILP	O	-	-	-	-	-
36	Assistive Technologies Funding	DEED	O	-	-	-	-	-
37	Vocational Rehabilitation Transition Services Conference: Prep to assist senior & benef. in community emergencies	DOL/Voc Rehab	O	-	-	-	-	-
38		DHSS/Boards/GCDSE	O	-	-	-	-	-
39	Boom: 10-Yr Beneficiary Needs Projection	DHSS/Boards/GCDSE	C	-	-	-	-	-
40	Crisis Response Consultation Team	DHSS/DSDS/Sr grants	O	-	-	-	500.0	-
41	Assuring Better Child Development (ABCD) Expansion	DHSS/OCS	O	-	-	-	-	-
42	Deferred Maintenance ADA Impvt Grants to Service Providers & Beneficiaries	DHSS/Facilities	C	-	-	-	1,500.0	-
43	Essential Program Equipment Match	DHSS/Facilities	C	-	-	-	-	-
44	Coordinated/Non-coordinated Transportation & Assessment	DOTPF	C	-	-	-	1,000.0	-
45	TelePractice Project Start-Up	DHSS/DHB	C	-	-	-	-	-
46	<b>GCDSE Subtotal</b>			<b>280.0</b>		<b>280.0</b>	<b>4,925.0</b>	<b>-</b>
47	<i>Alaska Brain Injury Network</i>							
48	<i>Alaska Brain Injury Network</i>							
49	Brain Injury Network Resource Navigation (also called Outreach LY)	ABIN	AG	136.0		136.0	-	-

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	A	B	C	D	E	F	G	H	I
5		Advisory Board Requests			FY2010	FY2010 orig	FY2011	FY2010	
6			Dept/RDU		MHTAAR/AG			GF/MH	Other
50		Traumatic Brain Injury Service Coordination	DHSS/DSDS/Admin	O	150.0		150.0	50.0	-
51									
52		ABADA Subtotal			286.0		286.0	50.0	-
53									
54		Advisory Board Total			1,366.0	1,366.0	1,366.0	13,150.0	-

*Andrew*  
*1/20/09*

**Department of Natural Resources  
Alaska Coastal and Ocean Management**

<b>Subject of RPL:</b> Coastal Impact Assistance Program (CIAP)	<b>ADN/RPL #:</b> 10-0-5003
<b>Amount Requested:</b> \$27,481,207	<b>Appropriation Authority:</b> Ch. 15, SLA 2009, Sec. 39(a)(1), Page 79, Lines 28-30
<b>Funding Source:</b> Federal Receipts - Capital	<b>Statutory Authority:</b> AS 46.39 and AS 46.40

**PURPOSE**

The Department of Natural Resources (DNR) is requesting approval to amend an existing capital appropriation to accept an additional \$27,481,207 in federal Coastal Impact Assistance Program (CIAP) funds.

The U.S. Department of the Interior Minerals Management Service (MMS) directly distributes CIAP funds to only one state agency, as per the federal Outer Continental Shelf Lands Act. For Alaska, DNR's Division of Coastal and Ocean Management (DCOM) is the designated state agency that can receive CIAP funds and has authority to represent and act on behalf of the state in dealing with the Secretary of Interior for purposes of CIAP. Currently, DNR has authority under section 39 of CSSB 75(FIN) to receive and expend a prorated amount of \$24,384,733 of the \$51,865,940 total CIAP funding available to the state under the program. Approval of an additional \$27,481,207 of federal receipt authority will allow DNR to receive the full amount of CIAP funding available to the state and transfer funds to the Department of Commerce, Community and Economic Development (DCCED) and the Department of Fish and Game (DFG) as per the legislative intent under Section 39 of CSSB 75(FIN).

**Legislative Fiscal Analyst Comment: Although DNR is requesting additional funding, the total amount of CIAP funding to be received by the State of Alaska is about \$1.7 million less than the legislature expected (\$51,865,940 available vs. the \$53.6 million anticipated when the budget passed). This request gives DNR the authority to receive all CIAP funding and will leave substantial hollow federal authorization in DFG and DCCED.**

**PREVIOUS LEGISLATIVE CONSIDERATION**

Section 39 of CSSB 75(FIN) appropriates total prorated CIAP funds of \$51,865,940 as follows:

- (1) \$24,384,733 to DNR for state initiated projects
- (2) \$1,451,472 to DFG for the Western Alaska Salmon Coalition's (WASC) Chum and Sockeye Genetic Identification Program
- (3) \$15,482,370 to DCCED for an open solicitation from the public
- (4) \$10,547,365 to DCCED for use by named municipalities and coastal resource service areas

Agency Contact: Leta Simons: (907) 465-3379  
LFD Analyst: Amanda Ryder: (907) 465-5411

As per the above appropriation, DNR is authorized to receive and expend the prorated amount of \$24,384,733 of the total amount of funds available. Since MMS cannot distribute funds directly to DFG and DCCED due to the federal limitation of awarding funds to only one state agency, approval of this request will allow DNR to accept the full \$51,865,940 available to the state. With approval by MMS of an amended CIAP plan, DNR will transfer project funds to DCCED and DFG as per the legislative intent of Section 39 of CSSB 75(FIN).

#### Steps to Implementation

1. Authorization is increased to allow DNR receipt authority for an additional \$27,481,207 of available CIAP funding, as per this RPL request.
2. DNR will, following a public process, present a CIAP plan amendment to MMS for state-initiated projects as per Section 39(a)(1) and (2) of CSSB 75(FIN), including the Western Alaska Salmon Coalition (WASC) project which will be administered through DFG. DNR will work with MMS to finalize approved plan amendments. DNR will apply for project grants approved in the amended plan, including the WASC project.
3. DCCED will solicit projects from the public and named municipalities as per Section 39(a)(3) and (4) of CSSB 75(FIN).
4. DNR will, following a public process, present a CIAP plan amendment to MMS for projects selected by DCCED that meet the terms set out in the CIAP plan. DNR and DCCED will work with MMS to finalize approved plan amendments. DNR will apply for project grants approved in the amended plan, including those that will be administered by DCCED.
5. DNR will transfer project funds via reimbursable services agreements (RSAs) to DCCED and DFG for implementation of projects in Section 39(a)(2), (3) and (4) of CSSB 75(FIN).

#### TIMING ISSUES

Implementation of the legislative intent of Section 39 of CSSB 75(FIN) will require an amendment of the Alaska CIAP plan. The deadline for submitting a plan amendment to MMS is December 31, 2010. In order to meet this deadline, DNR will need to begin the public process for developing the amendment in August 2009. The amendment cannot go forward without proper authority for receipt of funds.

If this request is denied, the State of Alaska will be unable to receive \$27,481,207 in CIAP funds allocated through the Energy Policy Act of 2005, since MMS cannot transfer funds directly to DFG and DCCED.

**Legislative Fiscal Analyst Comment: If the State does not meet the MMS December 31, 2010 deadline, the funding will be redistributed pro-rata to the five other states eligible for CIAP funding.**

**BUDGETARY ISSUES**

The administrative costs for developing, managing, and implementing the Alaska CIAP plan are expected to continue through 2016. DNR's administrative costs, as approved in the plan, will be paid proportionately from each project funded through the CIAP program. DCCED's approved administrative costs will be paid proportionately from the projects administered by DCCED.



# LAWS OF ALASKA

2009

**Source**  
HCS CSSB 75(FIN)

**Chapter No.**  
15

## AN ACT

Making and amending appropriations, including capital appropriations, supplemental appropriations, and appropriations to capitalize funds; and providing for an effective date.

---

**BE IT ENACTED BY THE LEGISLATURE OF THE STATE OF ALASKA:**

THE ACT FOLLOWS ON PAGE 1

1 operating budget - \$10,835,500), and sec. 1, ch. 27, SLA 2008, page 44, line 20 (Budget and  
2 Audit Committee - \$19,123,900) are reappropriated to the Legislative Council for purchase,  
3 restoration, and display of historical art and artifacts in conjunction with statehood  
4 celebrations, energy-related issues, and necessary legislative capital projects.

5 (d) Section 70(c), ch. 29, SLA 2008, is amended to read:

6 (c) The unexpended and unobligated balances, not to exceed \$100,000, of the  
7 appropriations made in sec. 1, ch. 28, SLA 2007, page 42, line 22 (Budget and Audit  
8 Committee - \$14,219,300); sec. 1, ch. 28, SLA 2007, page 42, line 28 (Legislative  
9 Council - \$30,201,500); and sec. 1, ch. 28, SLA 2007, page 43, line 6 (legislative  
10 operating budget - \$9,682,300) are reappropriated to the Legislative Council for the  
11 Legislative Outdoor Heritage Caucus for the fiscal year ending June 30, **2010** [2009].

12 (e) The unexpended and unobligated balance, estimated to be \$750,000, of the  
13 appropriation made in sec. 70(b), ch. 29, SLA 2008 (Legislative Council, Alaska Conference  
14 on State and Federal Responsibility Related to Economic Impacts of ESA Listings) is  
15 reappropriated to the Legislative Council for the Alaska Conference on State and Federal  
16 Responsibility Related to Economic Impacts of ESA Listings and for addressing the effects of  
17 climate and environmental change on the state for the fiscal years ending June 30, 2009, and  
18 June 30, 2010.

19 \* **Sec. 38. UNIVERSITY OF ALASKA.** The unexpended and unobligated balance of the  
20 appropriation made in sec. 4, ch. 30, SLA 2007, page 117, lines 23 - 25 (University of Alaska,  
21 Kachemak Bay Campus expansion - city hall purchase - \$2,500,000) is reappropriated to the  
22 University of Alaska for property acquisition and property improvements to the Kachemak  
23 Bay Campus of the Kenai Peninsula College.

24 \* **Sec. 39. COASTAL IMPACT ASSISTANCE PROGRAM.** (a) The share of money  
25 received by the state under the federal coastal impact assistance program, sec. 384, P.L. 109-  
26 58 (Energy Policy Act of 2005), expected to be \$53,600,000, is appropriated in the following  
27 amounts to the departments listed for the projects described:

28 (1) \$25,200,000 to the Department of Natural Resources for state-initiated  
29 capital projects, as allowed under federal and state laws governing the use of coastal impact  
30 assistance program funds;

31 (2) \$1,500,000 to the Department of Fish and Game for the Western Alaska

1 Salmon Coalition's chum and sockeye genetic identification program;  
 2 (3) \$16,000,000 to the Department of Commerce, Community, and Economic  
 3 Development for capital project grants to be awarded through an open public solicitation  
 4 process and as allowed under federal and state laws governing the use of coastal impact  
 5 assistance program funds;

6 (4) \$10,900,000 to the Department of Commerce, Community, and Economic  
 7 Development for competitive capital project grants, as allowed under federal and state laws  
 8 governing the use of coastal impact assistance program funds, to be allocated to the following  
 9 coastal resource service areas and municipalities in the amounts stated:

10 RECIPIENT	10 AMOUNT
11 Cenaliulriit CRSA	\$3,000,000
12 City and Borough of Juneau	1,900,000
13 Aleutians West CRSA	1,200,000
14 Bering Straits CRSA	1,100,000
15 City and Borough of Sitka	900,000
16 Ketchikan Gateway Borough	900,000
17 Aleutians East Borough	700,000
18 Bristol Bay CRSA	500,000
19 City and Borough of Yakutat	300,000
20 Haines Borough	200,000
21 Municipality of Skagway	100,000
22 City and Borough of Wrangell	100,000

23 (b) If the amount available for appropriation in (a) of this section is less than  
 24 \$53,600,000, the appropriations made in (a)(1) - (4) of this section shall be reduced in  
 25 proportion to the amount of the shortfall.

26 \* ~~Sec. 40~~ DEPARTMENT OF HEALTH AND SOCIAL SERVICES. (a) The sum of  
 27 ~~23,947,500~~ \$24,547,500 is appropriated from federal economic stimulus funds received by the state under  
 28 P.L. 111-5 (American Recovery and Reinvestment Act of 2009) to the Department of Health  
 29 and Social Services, health care services, for a statewide electronic health information  
 30 exchange system.

31 (b) The sum of \$2,727,500 is appropriated from the general fund to the Department of

**Department of Natural Resources  
Parks Management**

<b>Subject of RPL:</b> Alaska Trails Initiative	<b>ADN/RPL #:</b> 10-0-5006
<b>Amount requested:</b> \$2,087,200	<b>Appropriation Authority:</b> Ch. 82, SLA 2006, Sec. 1, Page 76, Lines 21-22
<b>Funding source:</b> Federal Receipts - Capital	<b>Statutory Authority:</b> AS 41.21.020

***PURPOSE***

This is a continuation of federal funding for the Alaska Trails Initiative Program (ATI). Funds will be utilized to complete or fund trail projects that were previously approved, but for which funding was insufficient. Statewide projects include trail-related facility development, maintenance, and construction.

\$187,200 of this funding is an earmarked pass-through grant for the non-profit Sitka Trail Works, Inc for the World War II Causeway project. The remaining \$1.9 million will be available for continuation or completion of projects identified in the 2005 and 2007 Alaska Trails Initiative (lists attached), and other projects that were approved previously but not funded.

This RPL request will amend an existing capital project (Ch. 82, SLA 2006, Sec. 1 P. 76 L. 21) for the Alaska Trails Initiative which will allow the Department of Natural Resource (DNR) to accept the additional federal funding.

***Legislative Fiscal Analyst Comment:* Appropriations for the trails program typically provide a single dollar figure without listing individual projects. Although project approval decisions are based on recommendations from a nine person Outdoor Recreation Trails Advisory Board (ORTAB) appointed by the Commissioner of DNR, the Director of Parks is responsible for final project funding decisions. The 2005 and 2007 lists of Alaska Trails Initiative projects provided in the backup are simply examples of the types of projects that are funded. With the exception of the Sitka Trail Works project, funds associated with this RPL may be used to supplement funding for projects on these lists or may go to projects which were deemed qualified in the last round of project solicitation but for which funding was not available. DNR is in the process of collecting project request information to allow for allocation of grant funds as soon as possible after approval of this RPL.**

***PREVIOUS LEGISLATIVE CONSIDERATION***

Previous RPLs were approved for the Alaska Trails Initiative Program for FY 2005 and FY 2007.

***Legislative Fiscal Analyst Correction:* The legislature appropriated a total of \$6,120.5 (all federal funds) in two separate appropriations: a FY2006 RPL for \$3,752.0 and a FY2007 capital project for \$2,368.5—not in two RPLs as stated above.**

**TIMING ISSUES**

The funding for the Alaska Trails Initiative was part of the federal Omnibus Bill, signed March 11, 2009. Notification of award was made too late for consideration of additional federal authorization during the 2009 Alaska legislative session. Since this type of funding has not been consistent and is not guaranteed, DNR could not anticipate receipt of these funds before they were awarded.

Projects will need to be completed during the next two summer field seasons (2010 and 2011), before the funds lapse in October, 2012. Authorization for receipt of the funds is needed in time for projects to be identified and approvals finalized by the Federal Land Highway Office before the start of the 2010 summer field season. Even a fast-tracked supplemental bill during the regular legislative session may be too late for this timing, since the federal approval process alone is expected to take 6-8 weeks. Also, if receipt authorization is delayed, the potential for re-allocation by the federal government to other states and projects is increased.

If authorization is not approved, the state will forego the opportunity to utilize federal funds to improve trails in Alaska.

The use of these funds conforms to the Division of Parks and Outdoor Recreation's 2004 Statewide Comprehensive Outdoor Recreation Plan (SCORP). Surveys used to develop and support the plan show 76% of Alaskans polled support the development of trailheads along roads. Over 81% stated that they actively participate in day hiking activities.

**BUDGETARY ISSUES**

Funding is available from the U.S. Department of Transportation, Federal Highway Administration, Western Federal Land Highway Division (FHWA/WFLHD). This funding does not replace existing general funds and does not require match funds. Loss of these funds in the future will not generate a need for replacement with general funds.

Line Item Distribution

Personal Services	\$ 108,500	Continuation of partial funding for existing Natural Resource Specialist III, Natural Resource Specialist II, Grants Administrator, and Accounting Technician.
Travel	\$ 2,700	For project review.
Grants	\$ 1,976,000	Pass-through to subgrantees upon approval of projects.



## 2005 Alaska Trails Initiative

Identified Group	Project Name	Applicant Organization	Grants
Sitka	Sitka Trail Works	Sitka Trail Works, Inc.	\$450,000
Girdwood	Girdwood Trails	Municipality of Anchorage, Girdwood Parks & Recreational Dept., Girdwood Trails Committee	\$104,000
Kodiak	Kodiak Trails	DPOR - Kodiak	\$332,128
Iditarod	Iditarod National Historic Trail Seward to Girdwood	Chugach National Forest	\$308,000
Juneau	Perseverance Trail Repair	Trail Mix, Inc.	\$736,212
Juneau	Juneau Nordic Trails	Eaglecrest Ski Area	\$98,800
Chugach National Forest	Russian River Anglers Trail Proposal	Chugach National Forest	\$425,297
Hatcher Pass State Park	Hatcher Pass Trails	Mat-Su Borough	\$188,513
Arctic Valley	Arctic Valley Trails	Anchorage Ski Club Inc./Chugach State Park	\$108,000
Sitka	World War II Causeway	Sitka Trail Works, Inc.	\$150,000
Iditarod Trail	Iditarod Trail Committee, Trail Enhancement Project	Iditarod Trail Committee	\$480,000
Juneau	Under Thunder Pathway	Trail Mix, Inc.	\$100,000
State of Alaska	State of Alaska Wildlife Trails	Alaska Dept. of Fish and Game	\$247,550
Matanuska / Susitna Borough	Matanuska Susitna Gorsuch Trails	Western Alaska Council, Boy Scouts of America	\$28,000
Wrangell St. Elias National Park	Crystalline Hills Trailhead	Wrangell St. Elias National Park and Preserve	\$53,500
Division of Parks and Outdoor Recreation	Administration of Grant Funds	Alaska State Trails Program	\$190,000
<b>TOTAL</b>			<b>\$4,000,000</b>



## 2007 Alaska Trails Initiative

Identified Group	Project Name	Applicant Organization	Grants
Statewide Trails	Mobile Tool Cache	Alaska Trails (Non-Profit)	\$14,990
Bethel	Pinky's Park Running Trail	City of Bethel	\$50,000
DPOR – Northern Region	Angel Creek Trail Reroute	DPOR – Northern Region	\$125,000
Soldotna	Tsalteshi Trails Improvement Project		\$100,000
Juneau	Perseverance Trail Phase II	Trail Mix, Inc.	\$100,000
Anchorage	Helen Louise McDowell Sanctuary Trail	Great Land Trust	\$99,391
Juneau	Auke Lake Trail	University of Alaska - SE	\$100,000
Anchorage	Hillside Singletrack Trails Project	Hillside Singletrack Advocates	\$91,570
Talkeetna	Talkeetna Lakes Park Loop Trail & Access	Upper Susitna Soil & Water Conservation District	\$50,000
Homer	Lookout Mountain Recreation Area	Kachemak Bay Nordic Ski Club	\$66,200
Fairbanks	FNSB Recreational Trails Easement Project	Fairbanks North Star Borough	\$136,620
Sutton	Layout and Prescription for Eska Creek Area Trails	Division of ML&W	\$18,000
Kenai Peninsula - USFS	Grandview Interpretive Trail	United States Forest Service	\$100,000



## 2007 Alaska Trails Initiative

Identified Group	Project Name	Applicant Organization	Grants
Girdwood	Girdwood Trail Pedestrian Bridge	Municipality of Anchorage	\$100,000
Prince of Wales Island - USFS	Gravelly Creek Trail	United States Forest Service	\$15,850
Juneau - USFS	Nugget Falls Accessible Trail	United States Forest Service	\$135,000
Statewide	Trail Easement Recording Project	Division of Mining Land and Water	\$80,000
Sitka	World War II Causeway	Sitka Trail Works, Inc.	\$69,825
Lake Louise/Denali Highway	Lake Louise - McClaren Trail Survey and Construction	Lake Louise Snowmachine Club	\$91,215
Prince of Wales Island - USFS	Red Bay Trail Improvement Project	United States Forest Service	\$19,226
Yukon Delta	Bogus Creek Trail and Shelter Cabin	Kuskokwim 300 Race Committee	\$60,717
Whittier	Billings Pass Trail	City of Whittier & United States Forest Service	\$52,339
Division of Parks and Outdoor Recreation	ATI Administration	Alaska State Trails Program	\$142,110
<b>TOTAL</b>			<b>\$1,818,053</b>

PUBLIC LANDS HIGHWAYS DISCRETIONARY (PLHD) EARMARKING IN FY2009 OMNIBUS APPROPRIATIONS ACT		
STATE	PROJECT DESCRIPTION AS DESIGNATED	DESIGNATED AMOUNT IN JOINT EXPLANATORY STATEMENT
AK	Alaska Trails Initiative	\$1,900,000.00
AK	Fairbanks/North Star Borough Rural and Road Service Upgrades	\$950,000.00
AZ	Arizona Forest Highway 39, General Hitchcock Highway (Catalina Highway), P	\$1,662,500.00
AZ	Hoover Dam Bypass Bridge	\$4,275,000.00
AZ	Infrastructure - Roads Improvement, Tohono O'odham Nation, Sells	\$950,000.00
AZ	Sage Brush Road Project, Navajo Mountain Chapter	\$139,650.00
CA	Bald Hill Slide Mitigation, Hoopa Reservation	\$712,500.00
CA	Forest Highway 171 Widening, Butte County	\$998,450.00
CA	Fort Baker Transportation Upgrades	\$475,000.00
CA	Needles Highway, Needles	\$3,800,000.00
CA	Presidio Transportation Demand Management Project, San Francisco	\$712,500.00
CA	South Access to the Golden Gate Bridge, Doyle Drive, City and County of San F	\$2,612,500.00
CA	State Route 88 Pine Grove Corridor Improvement Project, Amador County	\$180,500.00
CO	Improved Access to Powers Boulevard, Peterson AFB	\$2,280,000.00
CO	Sand Dunes Northern Access Road	\$308,750.00
CO	SH 115, Ft. Carson	\$652,650.00
CO	SH 13 South of SH 64 Rio Blanco Divide	\$475,000.00
DC	Disabled Veterans for Life	\$2,850,000.00
DE	Chesapeake and Delaware Canal Recreation Trail	\$570,000.00
FL	BIA Route 1281, Snake Road Improvement Project, Seminole Big Cypress Res	\$475,000.00
FL	Fort George Island Access Road, Jacksonville	\$475,000.00
FL	Snake Road Safety Improvements, Miccosukee Reservation	\$760,000.00
HI	Federal Lands Improvement Project	\$1,900,000.00
ID	City of Rocks Back Country Byway	\$1,961,750.00
ID	FH-24, Banks to Lowman	\$475,000.00

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[House Appropriations Committee Print]

Omnibus Appropriations Act, 2009  
(H.R. 1105; Public Law 111-8)

**DIVISION I—TRANSPORTATION, HOUSING  
AND URBAN DEVELOPMENT, AND RELATED  
AGENCIES APPROPRIATIONS ACT, 2009**

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(1941)



DEPARTMENT OF TRANSPORTATION—Continued

Account	Project	Amount	Requester(s)
Della Regional Transportation Development Program	Statesman Boulevard and Trail, MS	\$561,000	Sen. Cochran
Della Regional Transportation Development Program	Stoddard County Road Improvements, MO	\$342,418	Sen. Bond
Denali Commission	Denali Commission	\$3,700,000	Sen. Murkowski
Facilities and Equipment (F44)	Airfields in Alaska, Approach Lighting System Improvement Program (ALSP)	\$2,375,000	Sen. Murkowski
Facilities and Equipment (F44)	Arlington Municipal Airport, Medium Approach Lighting System (MALS), Arlington, TX	\$885,300	Rep. Barton
Facilities and Equipment (F44)	Gilks Slope Runway 36L, Napa County Airport, CA	\$985,000	Rep. Thompson, Miko
Facilities and Equipment (F44)	Gulfport-Biloxi Airport, RDMS, MS	\$1,25,000	Sen. Cochran
Facilities and Equipment (F44)	Hazard/Veney County Airport Instrument Landing System, Hazard, KY	\$142,500	Rep. Rogers, Harold
Facilities and Equipment (F44)	ILS for Reno Tahoe Airport	\$237,500	Sen. Reid, Sen. Ensign
Facilities and Equipment (F44)	Instrument Landing System, Runway A, Walnut Ridge Regional Airport, AR	\$712,500	Rep. Broy, Sen. Linde, Sen. Poyr
Facilities and Equipment (F44)	PIPI and RSO Installation, New Bedford Airport, MA	\$65,000	Rep. Frank
Facilities and Equipment (F44)	Wind Hazard Detection Equipment, McCarran International Airport, NV	\$307,500	Sen. Reid, Sen. Ensign, Rep. Donkey, Rep. Porter
Federal Lands (Public Lands Highways)	1.7-Mile Road Reconstruction, Wind River Indian Reservation, WY	\$475,000	Sen. Ensl
Federal Lands (Public Lands Highways)	Alaska Trails Initiative, AK	\$1,000,000	Sen. Murkowski
Federal Lands (Public Lands Highways)	Arizona Forest Highway 39, General Hitchcock Highway (Catalina Highway), Pima County, AZ	\$1,665,500	Rep. Giffords
Federal Lands (Public Lands Highways)	Bald Hill Slides Mitigation, Hoopa Reservation, CA	\$712,500	Rep. Thompson, Miko
Federal Lands (Public Lands Highways)	Bear River Access Road/Food Street Improvements, Brigham City, UT	\$285,000	Rep. Bishop, Rob





U.S. Department  
of Transportation  
Federal Highway  
Administration

# Memorandum

HFPD6-0609-TY3FL02\*300

Subject: **ACTION:** Allocation of Fiscal Year (FY) 2009  
Transportation Improvements (TI) Program Contract  
Authority and Obligation Limitation, Program Code  
(PC) TY30

Date: June 30, 2009

From: Terry K. Haussler, P.E. *Jeffrey Mann*  
*for* Director, Office of Federal Lands Highway

In Reply Refer To: HFPD-6

To: Federal Lands Highway Division Engineers

This memorandum allocates the FY 2009 TI program amount for the "Sitka WWII Causeway Trail and Multi-use pathway" in Alaska to the Western Federal Lands Highway Division (WFLHD). This project was among those earmarked by Congress as No. 11 in Section 1934 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU, Public Law 109-59).

This memorandum allocates a total of \$187,200.00 in FY 2009 Contract Authority and Obligation Limitation to WFLHD, program code ~~TY30~~ as shown on the attached Table A. This funding is available until expended. By copy of this memorandum, we are requesting the Office of Budget and Finance to make the appropriate adjustments in the Financial Management Information System for contract authority and obligation limitation, in accordance with the attached Table A. The accounting flex field information is as follows: Fund, 15X0R71H50; Budget Year, 0000; and BPAC 114TY30500.

If you have any questions, please contact Mr. Jeffrey Mann, Federal Land Highway Program Engineer at (202) 366-9489.

Attachment



**TABLE A**  
**FY 2009 Transportation Improvements Funding in FLEHDS**  
**Contract Authority and Obligation Limitation**

PRGM CODE	STATE	ORG LEVEL	ROUTE LOCATION WORKTYPE	PREVIOUS AMOUNT	AMOUNT OF THIS TRANSACTION	TOTAL AMOUNT
TYQ0	VA	1551000000	TI No. 406: Construct Old Mill Road Extension	\$1,192,586.50	\$0.00	\$1,192,586.50
TY30	VQ	1578000000	TI No. 455: Christiansted By-Pass Highway, St. Croix (Contract 2, Project No. VI-66(009), Demo ID VI004)	\$1,848,000.00	\$0.00	\$1,848,000.00
TY30	VQ	1578000000	TI No. 456: Upgrade West-East Corridor through Charlotte Amalie, St. Thomas (Long Bay Road, Project No. VI-A030(035), Demo ID VI005)	\$3,689,431.50	\$0.00	\$3,689,431.50
			<b>EFLHD SUBTOTAL</b>	<b>\$6,730,018.00</b>	<b>\$0.00</b>	<b>\$6,730,018.00</b>
TYU0	HI	1615000000	TI No. 69: Saddle Road traffic improvements on the Island of Hawaii	\$5,863,414.00	\$0.00	\$5,863,414.00
TYG0	UT	1649000000	TI No. 395: Bear River Migratory Bird Refuge Access Road Improvements, Box Elder County, Utah	\$359,470.00	\$0.00	\$359,470.00
TYH0	UT	1649000000	TI No. 399: Bear River Migratory Bird Refuge Access Road Improvements, Box Elder County	\$2,153,817.00	\$0.00	\$2,153,817.00
			<b>CFLHD SUBTOTAL</b>	<b>\$8,376,701.00</b>	<b>\$0.00</b>	<b>\$8,376,701.00</b>
TY30	AK	1702000000	TI No. 11: Sitka: World War II Causeway Trail and Multi-use Pathway projects	\$0.00	\$187,200.00	\$187,200.00
TYJ0	MT	1730000000	TI No. 241: Reconstruct Marysville Road consistent with final environmental document, Lewis and Clark County	\$13,349.00	\$0.00	\$13,349.00
			<b>WFLHD SUBTOTAL</b>	<b>\$13,349.00</b>	<b>\$187,200.00</b>	<b>\$200,549.00</b>
			<b>TOTAL FOR ALL DIVISIONS</b>	<b>\$15,120,068.00</b>	<b>\$187,200.00</b>	<b>\$15,307,268.00</b>



# LAWS OF ALASKA

2006

Source

HCS CSSB 231 (FIN) am H (brf sup maj p fld H)

Chapter No.  
82

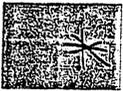
## AN ACT

Making appropriations, including capital appropriations, supplemental appropriations, reappropriations, and appropriations to capitalize funds; making appropriations under art. IX, sec. 17(c), Constitution of the State of Alaska, from the constitutional budget reserve fund; and providing for an effective date.

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BE IT ENACTED BY THE LEGISLATURE OF THE STATE OF ALASKA:

THE ACT FOLLOWS ON PAGE 1



	Appropriation		General	Other
	Allocations	Items	Funds	Funds
1				
2				
3	Alaska National Guard -	125,000	125,000	
4	Drug Demand Reduction			
5	Program Course Equipment			
6	(HD 17-32)			
7	*****	*****		
8	***** Department of Natural Resources *****			
9	*****	*****		
10	Abandoned Mine Lands	3,525,000		3,525,000
11	Reclamation Federal Program			
12	(HD 1-40)			
13	Airborne Geological and	600,000	600,000	
14	Geophysical Mineral			
15	Inventory (HD 1-40)			
16	AK Coastal Management	1,360,000		1,360,000
17	Federal Pass Through Grants			
18	(HD 1-40)			
19	Alaska Boating Safety	1,200,000		1,200,000
20	Program (HD 1-40)			
→ 21	Alaska Trails Initiative	2,368,500		2,368,500 ←
22	(HD 1-40)			
23	ALMR Emergency Response	1,291,500	1,291,500	
24	Equipment Replacement for			
25	Forestry/Fire and Parks (HD			
26	1-40)			
27	Anchor Point Campground	200,000	200,000	
28	Rehabilitation for Private			
29	Operations Phase 2 (HD			
30	33-35)			
31	Anchorage Soil & Water	250,000	250,000	
32	Conservation District -			
33	Conservation Plans for			

**Department of Transportation and Public Facilities  
through the Office of the Governor**

<b>Subject of RPL:</b> Hoonah Ferry Terminal Marine Structures	<b>ADN/RPL #:</b> 25-0-3007
<b>Amount Requested:</b> \$3,060,000	<b>Appropriation Authority:</b> Ch. 17, SLA 2009, Sec. 4, Page 7, Lines 25-30
<b>Funding Source:</b> Federal Stimulus: ARRA 2009 - Capital	<b>Statutory Authority:</b> AS 19.95.030 and 44.42.020

**Legislative Fiscal Analyst Comment:** The appropriation authority cited in this RPL is the catch-all ARRA (American Recovery and Reinvestment Act of 2009) capital project placed in the Governor's Office. There are no technical problems with the RPL; as a discretionary grant, the project is within the scope of that catch-all project. As an accounting technicality, the funds must go through the Office of the Governor. As a matter of budget reporting, both OMB and Legislative Finance prefer to show the money in the agency that will spend it. Despite the fact that the RPL number refers to the Department of Transportation and the intent (of both OMB and Legislative Finance) to report the RPL as a DOT&PF transaction, OMB has assured us that accounting standards will be met.

**PURPOSE**

The Department of Transportation and Public Facilities (DOTPF) requests authority to receive and expend Ferry Boat Discretionary Program (FBD) funds from the American Recovery & Reinvestment Act of 2009 (ARRA), through the Federal Highway Administration (FHWA).

This project will preserve and improve access to Hoonah by providing safe, reliable, and efficient transportation of passengers and vehicles by replacing aging and deteriorated marine structures at the Alaska Marine Highway System's (AMHS) Hoonah Ferry Terminal. This project will replace aging dolphins, cat walks, the transfer bridge and some of the floats. In 2008 about 14,000 passengers got on ferries going to or coming from Hoonah accompanied by about 4,300 vehicles. Maintaining this transportation link is vital to the community as there are no public road connections on Chichagof Island and only weather-dependent, propeller-driven air carriers can land at the small airport and seaplane terminal.

**PREVIOUS LEGISLATIVE CONSIDERATION**

This is a new project specifically requesting ARRA FBD funds. It was not previously considered by finance committees as DOTPF did not anticipate receiving these funds. The project was approved and awarded ARRA FBD funding by the FHWA in mid July.

Agency Contact: Laura Baker: (907) 465-8974  
LFD Analyst: Rob Carpenter: (907) 465-5413

**TIMING ISSUES**

DOTPF was notified of the receipt of the funds on July 10, 2009 with the FHWA announcement of ARRA FBD awards. The total amount of FBD grant funding available nationwide was \$60 million. Application requests totaled over \$400 million and the Hoonah project approval was unexpected. The funds are available now and ARRA requires construction be completed by February 2011. DOTPF will advertise the project this fall to meet the February 2011 deadline.

In addition, a separate FHWA/Federal Transit Authority funded project will be under construction concurrently to improve the Hoonah Ferry Terminal uplands infrastructure by constructing vehicle parking, expanding the staging area, and installing curbs, gutters, sidewalk and lighting.

**BUDGETARY ISSUES**

This project is in the federally approved final Statewide Transportation Improvement Program Amendment #18.

A state match of 20% is required. Matching funds for the project have been identified for use from the FY10 Capital Budget appropriation as current projects are coming in significantly under budget.

***Legislative Fiscal Analyst Comment:* The state match would come from the capital appropriation for “Federal-Aid Highway State Match.” This appropriation was reduced significantly (20%) from the Governor’s request, but sufficient match is available.**

# ALASKA STATE LEGISLATURE

## LEGISLATIVE BUDGET AND AUDIT COMMITTEE



### Division of Legislative Finance

P.O. Box 113200  
Juneau, AK 99811-3200  
(907) 465-3795  
FAX (907) 463-4885

## MEMORANDUM

**DATE:** August 6, 2009  
**TO:** Senator Kevin Meyer, Chairman  
**FROM:** David Teal, Director  
**SUBJECT:** University of Alaska RPLs

The University of Alaska submitted 14 RPLs for review at the August 14, 2009 meeting of the Legislative Budget & Audit Committee. Based on a history of receiving about 200 federal grants annually, the RPL volume submitted for this meeting may not be an anomaly. The Committee may wish to abbreviate the preparation and review process for University RPLs.

Before reviewing options for speeding preparation and review, some background may be beneficial. University budgets typically include federal expenditure authorization in excess of their known requirements. Without knowing specifically what federal grants they would receive, the University could absorb grant funding without requesting additional authorization from the LB&A Committee. In short, past LB&A Committees did not review RPLs similar to those submitted by the University, or even know what specific grants the University received.

This year, federal stimulus funding complicated the process. RPLs are necessary in FY2010 because the legislature:

1. created a fund code specifically for funds associated with the American Recovery and Reinvestment Act of 2009 (ARRA),
2. ensured that regular federal and ARRA receipts were not interchangeable,
3. limited the generic authority to spend ARRA funds, and
4. approved a minimal, generic University ARRA capital project with instructions to add to it only after LB&A review.

Review of individual grants/RPLs is the prerogative of the Committee. However, if the legislature underestimated the number of grants that would come before the Committee and did not intend that each grant would require a separate RPL, the Committee may wish to consider the following options to reduce the paperwork associated with ARRA grants to the University:

**At the August 14 meeting:** vote on the 14 RPLs as a package. *All are capital projects that use ARRA funds and are attached to the University's generic capital project. Because the RPLs use the same statutory authority and the money goes to the same project, a single RPL would have sufficed. The University may have provided more information than the Committee desires to see. Legislative Finance intends to enter approved RPLs as a single transaction.*

**For future grants:**

1. Approve an RPL that adds several million dollars to the existing generic capital project. *This approach is efficient—it would reduce or eliminate the need for future RPLs—but would reduce the ability to track actual ARRA receipts.*
2. Permit the University to submit a single RPL (at each LB&A meeting) that simply presents information similar to that in the sheet below. *This approach may delay the ability to initiate spending, but it permits accurate tracking of ARRA funds while minimizing effort spent on preparing and reviewing documentation.*
3. **(Recommended)** Blend options 1 and 2, so that
  - a. the University is not required to receive LB&A approval of individual RPLs before beginning to spend grant funds,
  - b. the University presents a summary report of grants at each LB&A meeting (or to the Finance committees during session) and
  - c. Legislative Finance enters amounts from those reports so that ARRA receipts are tracked accurately.

Again, I am not suggesting that the Committee should avoid reviewing individual grants/RPLs. I am merely suggesting some options the Committee may wish to consider if members decide that they wish to streamline the process for ARRA RPLs submitted by the University.

<b>University of Alaska RPL requests -- August 14, 2009 LB&amp;A Meeting</b>							
<b>All grants have been awarded in connection with the American Recovery and Reinvestment Act of 2009; all are capital projects with estimated 1-4 year terms.</b>							
	ARRA Award #	Title	Granting Agency	Campus	Amount	Start Date	End Date
1	ATM-0903124	Collaborative Research: P2C2-Ice Core Paleoclimate Records from Combatant Col, British Columbia, Canada	NSF	Fbks	156,981	9/1/2009	8/31/2012
2	16430-0751	Investigating Obesity and Chronic Disease-Related Risk Factors in Alaska Natives	NIH	Fbks	30,555	6/8/2009	6/7/2010
3	DEB- 0919234	Collaborative Research: Evolutionary genomics of rapid adaptation in threespine stickleback	NSF	Anc	306,901	7/1/2009	6/30/2012
4	EAR-0911677	Is the Tibetan Plateau Rising?	NSF	Fbks	327,277	7/1/2009	6/30/2012
5	15457921-1	IPY: Human Response to Climate Change at Cape Espenberg AD 800-1400	U of Colorado - NSF Funds	Fbks	508,138	6/15/2009	5/31/2012
6	ARC-0902169	Collaborative: How the Timing of Summer Precipitation Affects the Responses of Boreal Forest to Climate Change	NSF	Fbks	797,130	7/1/2009	6/30/2012
7	ANT-0838892	Collaborative Research: Weddell seals as autonomous sensors of the winter oceanography of the Ross Sea	NSF	Anc	196,556	7/1/2009	6/30/2013
8	ARC-0856786	Collaborative Research: An Ocean Observing System for the Bering Strait, the Pacific Gateway to the Arctic - an integral part of the Arctic Observing Network	NSF	Fbks	772,111	9/1/2009	8/31/2013
9	EAR-0909254	Collaborative Research: Investigating the Relationship Between Pluton Growth and Volcanism at Two Active Intrusions in the Central Andes	NSF	Fbks	1,517,928	9/1/2009	8/31/2014
10	ARC-0909538	Collaborative Research: Environmental changes alter the carbon cycle of High Arctic ecosystems: shifts in the ages and sources of CO2 and DOC	NSF	Anc	502,530	9/1/2009	8/31/2012
11	ARC-0909432	Near-inertial wave generation, propagation, and shoaling in a seasonally ice-covered ocean	NSF	Fbks	259,559	8/1/2009	7/31/2011
12	ARC-0902186	SGER: Emergency Analysis and Conservation of Early Holocene Organic Tools from Central Alaska	NSF	Fbks	6,530	8/1/2009	7/31/2010
13	ARC-0909523	Collaborative Research: Nonlinearities in the Arctic climate system during the Holocene	NSF	Fbks	119,999	1/1/2010	12/31/2012
14	ARC-0902184	Collaborative Research: The Changing Seasonality of Tundra Nutrient Cycling: Implications for Ecosystem and Arctic System Functioning	NSF	Anc	225,072		
<b>Total for Aug LB&amp;A Meeting</b>					<b>5,727,267</b>		

## University of Alaska

Subject of RPL: Ice Core Paleoclimate	ADN/RPL #: 45-0-1102
Amount Requested: \$156,981	Appropriation Authority: Sec. 4, Ch. 17, SLA 2009, Page 9, Lines 12-16
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 14.40.40

### **PURPOSE**

The requested federal stimulus receipt authority will allow the University of Alaska Fairbanks to accept a National Science Foundation award for a project entitled: "Collaborative Research: P2C2-Ice Core Paleoclimate Records from Combatant Col, British Columbia, Canada".

This award is federally funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated April, 2009.

### **PREVIOUS LEGISLATIVE CONSIDERATION**

This project has not previously been considered. This is a new multi-year federal award that is effective September 1, 2009 and expires August 31, 2012. The award was issued on June 4, 2009 and was not requested as part of the University's budget.

### **TIMING ISSUES**

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority is not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009. Proposal No. ATM-0903124 was submitted, but not approved until the additional National Science Foundation funding thru ARRA became available.

### **BUDGETARY ISSUES**

This project is directly aligned with the University of Alaska's long term plans and mission: "The University of Alaska Fairbanks, the nation's northernmost Land, Sea and Space Grant University and international research center, advances and disseminates knowledge through teaching, research and public service with an emphasis on Alaska, the circumpolar North and their diverse peoples. UAF – America's Arctic University – promotes academic excellence, student success and lifelong learning."

No State General Funds will be used, nor is any match required. The federal stimulus funds will be expended between FY10-FY13. An indirect cost is being charged to the award to cover the administrative cost of the program.

The total amount of the award is \$156,981. This request adds an additional \$156,981 to the University's existing federal economic stimulus authority for competitive, discretionary, and incentive grants capital project appropriation contained within Sec. 4, Ch. 17, SLA 2009.

A copy of the award letter for Award No. ATM-0903124 is attached, along with the budget document detailing expenditures for the life of the grant.

Agency Contact: Michelle Rizk, (907) 450-8187

OMB Approved: \_\_\_\_\_ Date: \_\_\_\_\_

[◀ Return to Award Documents Page](#)

# National Science Foundation

**4201 WILSON BOULEVARD, ARLINGTON, VIRGINIA 22230**

Award Date: June 4, 2009  
 Award No. ATM-0903124  
 Proposal No. ATM-0903124

Ms. Maggie Griscavage  
 Director, Grant and Contract Services  
 University of Alaska Fairbanks  
 109 ASC  
 P.O. Box 757880  
 Fairbanks, AK 99775-7880

Dear Ms. Griscavage:

The National Science Foundation hereby awards a grant of \$156,981 to University of Alaska Fairbanks for support of the project described in the proposal referenced above.

This project, entitled "Collaborative Research: P2C2--Ice Core Paleoclimate Records from Combatant Col, British Columbia, Canada," is under the direction of Erin C. Pettit, in collaboration with the following proposals

Proposal No:	PI Name/Institution
0902392	Douglas
H. Clark, Western Washington University	
0902240	Eric J.
Steig, University of Washington	
0902734	Joseph R.
McConnell, University and Community College System of Nevada, Desert Research Institute	

This award is effective September 1 , 2009 and expires August 31, 2012.

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:

[http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=arra0509](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509)

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is also subject to Research Terms and Conditions (RTC, dated July 2008) and the NSF RTC

Agency-Specific Requirements (dated January 2009) are available at <http://www.nsf.gov/awards/managing/rtc.jsp>. This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots..

Funds provided for participant support may not be diverted by the awardee to other categories of expense without the prior written approval of the cognizant NSF Program Officer. Since participant support cost is not a normal account classification, the awardee organization must be able to separately identify participant support costs. It is highly recommended that separate accounts, sub-accounts, sub-task, or sub-ledgers be established to accumulate these costs. The awardee should have written policies and procedures to segregate participant support costs.

Funds provided by this award include support for "Research Experiences for Undergraduates" in accordance with the NSF program announcement 07-569.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

Please view the project reporting requirements for this award at the following web address

[<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=0903124>].

The cognizant NSF program official for this grant is David J. Verardo, (703) 292-8527.

The cognizant NSF grants official contact is Anna-Lee M. Misiano, (703) 292-4339.

Sincerely,

Robert F. Joyce  
Grants and Agreements Officer

CFDA No. 47.082  
[fygrcon@uaf.edu](mailto:fygrcon@uaf.edu)

ATM-0903124  
000

## SUMMARY PROPOSAL BUDGET

### Award No. 0903124

Person MOS	cal	acad	sumr	Funds granted By NSF
A. (1.00) Total Senior personnel	6.00	0.00	0.00	\$45,354
B. Other Personnel				
1. (0.00) Post Doctoral associates	0.00	0.00	0.00	\$0
2. (0.00) Other professionals	0.00	0.00	0.00	\$0
3. (0.00) Graduate students				\$0
4. (0.00) Secretarial-clerical				\$0
5. (0.00) Undergraduate students				\$0
6. (0.00) Other				\$0
Total salaries and wages (A+B)				\$45,354
C. Fringe benefits (if charged as direct cost)				\$14,559
Total salaries wages and fringes (A+B+C)				\$59,913
D. Total permanent equipment				\$0
E. Travel				
1. Domestic				\$4,950
2. Foreign				\$7,020
F. Total participant support costs				\$21,850
G. Other direct costs				
1. Materials and supplies				\$13,500
2. Publication costs/page charges				\$1,000
3. Consultant services				\$0
4. Computer (ADPE) services				\$0
5. Subcontracts				\$0
6. Other				\$3,800
Total other direct costs				\$18,300
H. Total direct costs (A through G)				\$112,033
I. Total indirect costs				\$44,948
J. Total direct and indirect costs (H+I)				\$156,981
K. Residual funds / Small business fee				
1. Residual funds (if for further support of current projects AAG I.D.2 and I.D.3)				\$0
2. Small business fee				\$0
L. Amount of this request (J) or (J-K1+K2)				\$156,981
M. Cost sharing				\$0

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## Research Experience for Undergraduate Supplement Request PI Pettit – University of Alaska Fairbanks

### **Overview**

This proposal aims to drill two cores to bedrock at Combatant Col in British Columbia to enhance our understanding of the spatial and temporal variability of precipitation across the Northwestern US, Canada, and Alaska and the Northeast Pacific Ocean. In addition to the ice core retrieval and laboratory analysis of the record, interpretation of the record requires two additional components of this project. First, the geophysical characteristics of the site need to be defined and implemented in a model to understand the thinning of annual layering within the core. And second, we need to understand the process by which melt layers form in the summer, how they preserve annual stratigraphy, and what additional information they can provide towards peak summer temperatures. This last component of the project will be the focus of the one or two undergraduate students we mentor as part of this request for an REU supplement.

### **Nature of Student Activities**

We request a stipend for a student to work during the first two academic years of this project and the summer between them, when the main drilling field work will occur. We hope to find a student who will begin working with us in his or her junior year and who can continue working with us during his or her senior year, to provide an intensive and fulfilling experience for the student to be involved through most stages of the project. If the student cannot continue the second year of the project, we will seek out a second eager student to help with the analysis and final field component of the project.

The melt-layer analysis will begin with the detailed experimental design and building of the thermistor array and integrating that array with the meteorological station. This will require the student to learn background information on snow melt and percolation processes. Then in the spring of the first year, we will install the array at Combatant Col, complete the complementary snow pit and high frequency radar analysis to characterize the pre-melt season snowpack. The student will spend the first part of the summer analyzing the preliminary thermistor array data, the snow pit and radar data, and building the tools necessary for the final analysis. In late summer, the student will join the main deep drilling component of the project, which is when we will download the array data, repeat the snow pit and radar data collection for the post-melt season snowpack. Ideally the student will continue in his or her senior year to complete the analysis and write a senior thesis on the results and work with PI Pettit.

### **The Experience of the PI in working with Undergraduate Students**

Although an early-career scientist, PI Pettit has experience working with both undergraduate and high school students in a research environment. As part of her post-doctoral research project studying the terminus dynamics of Taylor Glacier in Antarctica, she mentored and supervised Ms. Erin Whorton, funded under an REU supplement to the project. Working closely with Pettit, Ms. Whorton flourished as a researcher and decided

to continue her education by completing a Master's degree under PI Pettit's supervision. PI Pettit maintains a strong philosophy of allowing students to take a leading role and responsibility in certain well-defined aspects of a project; this requires a balance between strong guidance by the mentor/PI and offering the student freedom to learn and explore in that role. By offering the student a well-defined leadership role, the student has "ownership" of a part of the project and feels a commitment to the project that is not possible if the student simply plays the role of "assistant".

PI Pettit has also mentored undergraduate research projects as part of a interdisciplinary field-based seminar on Mt Rainier while at the University of Washington. And for the past 9 years, she has led high school student in field-based research expeditions ("Girls on Ice") in which the girls design and complete a field experiment over an 11-day period.

### **The Research Environment**

The University of Alaska Fairbanks offers a strong research foundation and support for undergraduate research. The university is internationally renowned for its expertise in polar studies from glaciers, to permafrost, to snow. The faculty in the Institute of Northern Engineering, the Geophysical Institute, and the College of Natural Sciences and Mathematics (CNSM is PI Pettit's affiliation and is an EPSCoR institution). The student will have access to and be encouraged to seek out the knowledge of these other faculty, particularly the Snow, Ice, and Permafrost (SIP) group which is centered in the Geophysical Institute, but includes other faculty. The student will have access to laboratories for building instrumentation and a natural laboratory for testing instrumentation and ideas in the local environment around campus.

### **Student Selection**

The University of Alaska Fairbanks has several campus organizations to support undergraduate students in the sciences. These will provide a direct link to strong students from which to choose for this project. The primary one with which we will work with the Alaska Native Science and Engineering Program (ANSEP, <http://ansep.uaa.alaska.edu/>) and the Society of Women Engineers. Because of the math and physics background required to succeed with this project, we will seek students who have sufficient background. Each interested student will have to fill out an application describing their science background, their interest in snow, ice, and climate change studies, how they will be able to contribute to the project, and how they project will provide the growth and support they need as emerging scientists. In order to encourage diversity in the sciences and to offer a unique experience that will give the student the confidence to continue in a scientific career, Alaska Native students will receive first priority, while students from other underrepresented groups (including, for example, a white student who grew up in rural Alaska) in the sciences will receive secondary priority.

## REU Budget

<b>Participant Support Costs</b>	Year 1	Year 2	Year 3	
REU Student Stipend (during academic year \$225 per week, \$450 per week summer)	10800	6300	0	<b>17100</b>
Student Travel to field (airfare)	2000	1000	0	
Student travel to field per diem (covered under WWU budget)	0	0	0	
Student travel to conference airfare		1000		
Student travel to conference per diem		750		
<b>total participants support costs</b>	<b>12800</b>	<b>7300</b>	<b>0</b>	<b>20100</b>
<b>REU Administrative Costs (25% of Stipend)</b>	<b>2700</b>	<b>1575</b>	<b>0</b>	<b>4275</b>
<b>total costs</b>	<b>15500</b>	<b>8875</b>	<b>0</b>	<b>24375</b>



**DEPARTMENT OF THE ARMY**  
ENGINEER RESEARCH & DEVELOPMENT CENTER, CORPS OF ENGINEERS  
COLD REGIONS RESEARCH AND ENGINEERING LABORATORY  
ALASKA PROJECTS OFFICE, PO BOX 35170  
FORT WAINWRIGHT, ALASKA 99703-0170

15 October 2008

MEMORANDUM TO:

Dr. Erin Pettit  
Research Assistant Professor  
College of Natural Science and Mathematics  
PO Box 755940  
University of Alaska Fairbanks  
Fairbanks, AK 99775  
pettit@gi.alaska.edu

Dear Erin,

I am writing in regards to your proposal *Ice core paleoclimate records from Combatant Col, British Columbia, Canada*. It seems like the proposal requires understanding melt layers in the snow pack, which often means understanding water percolation through the snow. It is an area that I have studied and published on, and I believe I can be of help. I am happy to provide guidance to you and your undergraduate students as you move forward with this project. Good luck with the proposal.

Sincerely,

Dr. Matthew Sturm  
Senior Scientist-CRREL-Alaska

## University of Alaska

Subject of RPL: Obesity and Chronic Disease	ADN/RPL #: 45-0-1103
Amount Requested: \$30,555	Appropriation Authority: Sec. 4, Ch. 17, SLA 2009, Page 9, Lines 12-16
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 14.40.40

### **PURPOSE**

The requested federal stimulus receipt authority will allow the University of Alaska Fairbanks to accept a National Institute of Health award for a project entitled: “Investigating Obesity and Chronic Disease-Related Risk Factors of Alaska Natives.”

This award is federally funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated April, 2009.

### **PREVIOUS LEGISLATIVE CONSIDERATION**

This project has not previously been considered. This is a new multi-year federal award that is effective June 8, 2009 and expires June 7, 2010. The award was issued on June 8, 2009 and has not been requested as part of the University’s budget.

### **TIMING ISSUES**

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority is not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009. The proposal was submitted April 27, 2009, but not approved until the additional National Institute of Health funding thru ARRA became available.

### **BUDGETARY ISSUES**

This project is directly aligned with the University of Alaska’s long term plans and mission: “The University of Alaska Fairbanks, the nation’s northernmost Land, Sea and Space Grant University and international research center, advances and disseminates knowledge through teaching, research and public service with an emphasis on Alaska, the circumpolar North and their diverse peoples. UAF – America’s Arctic University – promotes academic excellence, student success and lifelong learning.”

No State General Funds will be used, nor is any match required. The federal stimulus funds will be expended in FY09 and FY10. An indirect cost is being charged to the award to cover the administrative cost of the program.

The total amount of the award is \$30,555. This request adds an additional \$30,555 to the University's existing federal economic stimulus authority for competitive, discretionary, and incentive grants capital project appropriation contained within Sec. 4, Ch. 17, SLA 2009.

A copy of the award letter for Grant No. 3P20RR016430-07S1 is attached, along with the budget document detailing expenditures for the life of the grant.

Agency Contact: Michelle Rizk, (907) 450-8187

OMB Approved: \_\_\_\_\_ Date: \_\_\_\_\_



THIS AWARD IS ISSUED UNDER THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 AND IS SUBJECT TO SPECIAL HHS TERMS AND CONDITIONS AS REFERENCED IN SECTION III

**Grant Number:** 3P20RR016430-07S1

**Principal Investigator(s):**

Gerald Mohatt, MS

**Project Title:** Investigating Obesity and Chronic Disease-Related Risk Factors of Alaska Natives

MAGGIE GRISCAVAGE  
DIR, OFC OF GRANTS/CONTRACTS ADM  
UNIVERSITY OF ALASKA FAIRBANKS  
PO BOX 757880  
FAIRBANKS, AK 997757880

**Award e-mailed to:** fygrcon@uaf.edu

**Budget Period:** 06/08/2009 – 06/07/2010

**Project Period:** 06/08/2009 – 06/07/2010

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$30,555 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF ALASKA FAIRBANKS in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release or other document that cites results from NIH grant-supported research must include an acknowledgment of NIH grant support and disclaimer such as "The project described was supported by Award Number P20RR016430 from the National Center For Research Resources. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Center For Research Resources or the National Institutes of Health."

Award recipients are required to comply with the NIH Public Access Policy. This includes submission to PubMed Central (PMC), upon acceptance for publication, an electronic version of a final peer-reviewed, manuscript resulting from research supported in whole or in part, with direct costs from National Institutes of Health. The author's final peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process. For additional information, please visit <http://publicaccess.nih.gov/>.

Award recipients must promote objectivity in research by establishing standards to ensure that the design, conduct and reporting of research funded under NIH-funded awards are not biased by a conflicting financial interest of an Investigator. Investigator is defined as the Principal Investigator and any other person who is responsible for the design, conduct, or reporting of NIH-funded research or proposed research, including the Investigator's spouse and dependent children. Awardees must have a written administrative process to identify and manage financial conflict of interest and must inform Investigators of the conflict of interest policy and of the Investigators' responsibilities. Prior to expenditure of these awarded funds, the Awardee must report to the NIH Awarding Component the existence of a conflicting interest and within 60 days of any new conflicting interests identified after the initial report. Awardees must comply with these and all other aspects of 42 CFR Part 50, Subpart F. These requirements also apply to subgrantees, contractors,

or collaborators engaged by the Awardee under this award. The NIH website <http://grants.nih.gov/grants/policy/coi/index.htm> provides additional information.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Irene Grissom  
Grants Management Officer  
NATIONAL CENTER FOR RESEARCH RESOURCES

Additional information follows

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**SECTION I – AWARD DATA – 3P20RR016430-07S1****Award Calculation (U.S. Dollars)**

Salaries and Wages	\$17,933
Fringe Benefits	\$1,417
Personnel Costs (Subtotal)	\$19,350
Supplies	\$1,708
Federal Direct Costs	\$21,058
Federal F&A Costs	\$9,497
Approved Budget	\$30,555
Federal Share	\$30,555
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$30,555</b>
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$30,555</b>

**Fiscal Information:**

CFDA Number:	93.701
EIN:	1926000147A1
Document Number:	PRR016430Z
Fiscal Year:	2009

IC	CAN	2009	0	0	0
OD	8485820	\$30,555			

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

**NIH Administrative Data:**

PCC: RII01 / OC: 414C / Processed: GRISSOMI 06/04/2009

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 3P20RR016430-07S1**

For payment and HHS Office of Inspector General Hotline information, see the NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm>

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**SECTION III – TERMS AND CONDITIONS – 3P20RR016430-07S1**

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- The grant program legislation and program regulation cited in this Notice of Award.
- Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at '<http://grants.nih.gov/grants/policy/awardconditions.htm>' for certain references cited above.)

**ARRA TERM OF AWARD:** This award provides additional funding for 5P20RR016430-07. This additional funding is provided under the American Recovery and Reinvestment Act of 2009 (ARRA) and is subject to the HHS-Approved Standard Terms and Conditions for ARRA. Approved text for NIH awards can be found at:

[http://grants.nih.gov/grants/policy/NIH\\_HHS\\_ARRA\\_Award\\_Terms.pdf](http://grants.nih.gov/grants/policy/NIH_HHS_ARRA_Award_Terms.pdf). Recipients should pay particular attention to the special quarterly reporting requirements required by Section 1512 of the Recovery Act as specified in Term #2. These special quarterly reporting requirements apply only to this additional funding. Recipients should not include any information about the parent grant when responding to the quarterly reporting requirements.

Separate financial reporting (SF 272 and Financial Status Reports) will be required to be submitted covering this additional funding. These will be in addition to any required financial reports for the parent grant.

Separate closeout documents (Final Progress Report, Final Financial Status Report, and Final Invention Statement) will also be required to closeout the Recovery Act funding at the time the ARRA funding ends. These closeout reports for the ARRA funding are required even when the parent grant continues.

ARRA funds provided under this award are not available for rebudgeting or carryover into the parent grant. Any ARRA funding remaining at the end of the funding period for this award must be reported as an unobligated balance.

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots.

Carry over of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

This award represents the final year of the competitive segment for this grant. Therefore, see the NIH Grants Policy Statement (12/1/2003 version) for closeout requirements at: [http://grants.nih.gov/grants/policy/nihgps\\_2003/NIHGPS\\_Part8.htm#\\_Toc54600151](http://grants.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part8.htm#_Toc54600151).

A final Financial Status Report (FSR) (SF 269) must be submitted through the eRA Commons (Commons) within 90 days of the expiration date; see NIH Guide Notice [NOT-OD-07-078](#) for additional information on this electronic submission requirement.

Furthermore, unless an application for competitive renewal is submitted, additional grant closeout documents consisting of a Final Invention Statement and Certification form (HHS 568), (not applicable to training, construction, conference or cancer education grants) and a final progress report must also be submitted within 90 days of the expiration date.

NIH also strongly encourages electronic submission of the final progress report and the final invention statement through the Closeout feature in the Commons. If the final progress report and final invention statement are not submitted electronically, copies of the HHS 568 form may be downloaded at: <http://grants.nih.gov/grants/forms.htm>.

Submissions of the final progress report and HHS 568 may be e-mailed as PDF attachments to the NIH Central Closeout Center at: [deascentralized@od.nih.gov](mailto:deascentralized@od.nih.gov)

Paper submissions of the final progress report and the HHS 568 may be faxed to the NIH Central Closeout Center at 301-480-2304 or mailed to the NIH Central Closeout Center at the following address:

NIH/OD/OER/DEAS  
Central Closeout Center  
6705 Rockledge Drive, Room 2207  
Bethesda, MD 20892-7987 (for regular or U.S. Postal Service Express mail)  
Bethesda, MD 20817 (for other courier/express mail delivery only)

The final progress report should include, at a minimum, a summary of progress toward the achievement of the originally stated aims, a list of significant results (positive and/or negative), a list of publications and the grant number. If human subjects were included in the research, the final progress report should also address the following:

- Report on the inclusion of gender and minority study subjects (using the gender and minority Inclusion Enrollment Form as provided in the PHS 2590 and available at <http://grants.nih.gov/grants/forms.htm>).
- Where appropriate, indicate whether children were involved in the study or how the study was relevant for conditions affecting children (see "Public Policy Requirements and

Objectives-Requirements for Inclusiveness in Research Design-Inclusion of Children as Subjects in Clinical Research” in the PHS 398 at URL [http://grants.nih.gov/grants/policy/nihgps\\_2003/NIHGPS\\_Part5.htm#\\_Toc54600090](http://grants.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part5.htm#_Toc54600090)

- Describe any data, research materials (such as cell lines, DNA probes, animal models), protocols, software, or other information resulting from the research that is available to be shared with other investigators and how it may be accessed.

Note, if this is the final year of a competitive segment due to the transfer of the grant to another institution, then not all the requirements stated above are applicable. Specifically a Final Progress Report is not required. However, a final FSR is required and should be submitted electronically as noted above. In addition, if not already submitted, the Final Invention Statement is required and should be sent directly to the assigned Grants Management Specialist.

This award is funded by the following list of institutes. Any papers published under the auspices of this award must cite the funding support of all institutes.

Office Of The Director, National Institutes Of Health (OD)
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#### **Treatment of Program Income:**

Additional Costs

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### **SECTION IV – RR Special Terms and Conditions – 3P20RR016430-07S1**

This award is issued in response to Notice OD-09-060, Recovery Act Administrative Supplements Providing Summer Research Experiences for Students and Science Educators. Funds provided under this notice are restricted solely for the purpose of providing summer research experiences to applicable individuals and may not be used for any other purpose.

This award reflects support from the Office of the Director (OD) in the amount of \$30,555 total costs.

Grantees are reminded to include information on the summer research experience as part of the annual progress report(s) of the parent grant. Include names of individuals supported; type of position (e.g., high school student, undergraduate student, or type of science educator); the student and/or teacher's home institution; resume or statement of employment qualifications; and a brief summary of the summer research experience for each individual supported, including:

- ? Description of how the summer experience accelerated the tempo of research under the grant.
- ? Description of the research skills and/or knowledge obtained by students and educators during the experience.
- ? Statement from each supported student or educator describing how the experience helped them meet their short-term and long-term employment goals.

The hiring of students and educators to be supported on a specific grant should be performed consistent with institutional hiring policies.

The NIH has developed a website for voluntary use by grantees receiving these special supplements to register the availability of this support for interested students and educators. This site provides an outreach and recruitment tool for grantees and may be used voluntarily by prospective students and educators interested in participating in this program. Grantees are strongly encouraged to register the availability of opportunities in their laboratories from this supplement at: <https://science.education.nih.gov/SummerScience.nsf/Account.htm>.

The selection of students and educators to be supported on a specific grant remains the responsibility of the grantee organization.

If the grantee plans to issue a press release concerning the outcome of NCCR grant-supported research, it should notify the NCCR Office of Communications at 301-435-0888 in advance to allow for coordination.

The NCCR WWW home page is at <http://www.ncrr.nih.gov/>.

#### **STAFF CONTACTS**



## University of Alaska

Subject of RPL: Evolutionary Genomics- Threespine Stickleback	ADN/RPL #: 45-0-1104
Amount Requested: \$306,901	Appropriation Authority: Sec. 4, Ch. 17, SLA 2009, Page 9, Lines 12-16
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 14.40.40

### **PURPOSE**

The requested federal stimulus receipt authority will allow the University of Alaska Fairbanks to accept a National Science Foundation award for a project entitled: “Collaborative Research: Evolutionary genomics of rapid adaptation in threespine stickleback”.

This award is federally funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated April, 2009.

### **PREVIOUS LEGISLATIVE CONSIDERATION**

This project has not previously been considered. This is a new multi-year federal award that is effective July 1, 2009 and expires June 30, 2012. The award was issued on June 17, 2009 and has not been requested as part of the University’s budget.

### **TIMING ISSUES**

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority is not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009. The proposal was submitted January 9, 2009, but not approved until the additional National Science Foundation funding thru ARRA became available.

### **BUDGETARY ISSUES**

This project is directly aligned with the University of Alaska’s long term plans and mission: “The mission of the University of Alaska Anchorage is to discover and disseminate knowledge through teaching, research, engagement and creative expression.”

No State General Funds will be used, nor is any match required. The federal stimulus funds will be expended in FY10, FY11 and FY12. An indirect cost is being charged to the award to cover the administrative cost of the program.

The total amount of the award is \$306,901. This request adds an additional \$306,901 to the University's existing federal economic stimulus authority for competitive, discretionary, and incentive grants capital project appropriation contained within Sec. 4, Ch. 17, SLA 2009.

A copy of the award letter for Award No. DEB-0919234 is attached, along with the budget document detailing expenditures for the life of the grant.

Agency Contact: Michelle Rizk, (907) 450-8187

OMB Approved: \_\_\_\_\_ Date: \_\_\_\_\_

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# National Science Foundation

4201 WILSON BOULEVARD, ARLINGTON, VIRGINIA 22230

Award Date: June 17, 2009  
Award No. DEB-0919234  
Proposal No. DEB-0919234

Dr. Robert G. White  
V.P. for Graduate Studies and Research Council  
University of Alaska, Anchorage  
3211 PROVIDENCE DRIVE  
ANCHORAGE, AK 99508-4614

Dear Dr. White:

The National Science Foundation hereby awards a grant of \$306,901 to University of Alaska, Anchorage for support of the project described in the proposal referenced above.

This project, entitled "Collaborative Research: Evolutionary genomics of rapid adaptation in threespine stickleback," is under the direction of Frank A. von Hippel, in collaboration with the following proposals

Proposal No:	PI Name/Institution
----- ----- -----	----- ----- -----
0919090	William
A. Cresko, University of Oregon	

This award is effective July 1 , 2009 and expires June 30, 2012.

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:

[http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=arra0509](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509)

This grant is awarded pursuant to the authority of the National Science

Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is also subject to Research Terms and Conditions (RTC, dated July 2008) and NSF RTC Agency Specific Requirements (dated July 2008) available at <http://www.nsf.gov/awards/managing/rtc.jsp> and the following terms and conditions:

All materials produced as part of this project, including electronic components such as World Wide Web pages, must include a clear indication of source(s) of support (both NSF and any other contributors.)

In accordance with sections 1869a and 1869b of title 42 of the United States Code, the awardee will do the following:

1. Obtain from the school board or comparable authority responsible for the schools considering participation in the project, written approval prior to involvement of pre-college students in pre-college education research and development, pilot-testing, evaluation, and revision of experimental and innovative pre-college curriculum.
2. Include in every publication, testing, or distribution agreement involving instructional materials developed under this grant (including, but not limited to, teachers' manuals, textbooks, films, tapes, or other supplementary material) a requirement that such material be made available within the school district using it for inspection by parents or guardians of children engaged in educational programs or projects using such material of that school district.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

Please view the project reporting requirements for this award at the following web address

[<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=0919234>].

The cognizant NSF program official for this grant is Christine R. Boake, (703) 292-8480.

The cognizant NSF grants official contact is Aprile N. Roberson, (703) 292-4841.

Sincerely,

Kathleen C. Baukin  
Grants and Agreements Officer

CFDA No. 47.082  
[anrgw1@uaa.alaska.edu](mailto:anrgw1@uaa.alaska.edu)

□

DEB-0919234  
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**SUMMARY PROPOSAL BUDGET**  
**Award No. 0919234**

Person MOS	cal	acad	sumr	Funds granted By NSF
A. (3.00) Total Senior personnel	0.00	0.00	3.00	\$29,660
B. Other Personnel				
1. (0.00) Post Doctoral associates	0.00	0.00	0.00	\$0
2. (0.00) Other professionals	0.00	0.00	0.00	\$0
3. (3.00) Graduate students				\$54,174
4. (0.00) Secretarial-clerical				\$0
5. (3.00) Undergraduate students				\$46,530
6. (0.00) Other				\$0
Total salaries and wages (A+B)				\$130,364
C. Fringe benefits (if charged as direct cost)				\$13,630
Total salaries wages and fringes (A+B+C)				\$143,994
D. Total permanent equipment				\$6,000
E. Travel				
1. Domestic				\$54,000
2. Foreign				\$0
F. Total participant support costs				\$0
G. Other direct costs				
1. Materials and supplies				\$9,250
2. Publication costs/page charges				\$3,000
3. Consultant services				\$0
4. Computer (ADPE) services				\$0
5. Subcontracts				\$0
6. Other				\$17,236
Total other direct costs				\$29,486
H. Total direct costs (A through G)				\$233,480
I. Total indirect costs				\$73,421
J. Total direct and indirect costs (H+I)				\$306,901
K. Residual funds / Small business fee				
1. Residual funds (if for further support of current projects AAG I.D.2 and I.D.3)				\$0
2. Small business fee				\$0
L. Amount of this request (J) or (J-K1+K2)				\$306,901
M. Cost sharing				\$0

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**National Science Foundation**  
4201 Wilson Boulevard, Arlington, Virginia 22230, USA  
Tel: 703-292-5111, FIRS: 800-877-8339 | TDD: 703-292-5090

**Privacy and**  
**Security**

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**PROJECT SUMMARY*****Intellectual Merit***

A fundamental problem in evolutionary genetics is to understand the genetic basis of evolving traits. A surprising result from many studies of parallel and convergent evolution is that a small number of genes (and even alleles) often underlie repeated evolution of the same traits. Although this work is a great advance in our understanding of evolutionary genetics in natural populations, a critical question remains. Are these preliminary results on a small number of characters general to changes in genetic diversity occurring throughout the rest of the genome? Specifically, what proportion of an organism's genome is fixed in a population during adaptation to a new environment, and what proportion of the genome is fixed in common when different populations independently evolve in similar environmental conditions? We will address these questions in numerous independently evolved populations of threespine stickleback fish (*Gasterosteus aculeatus*) using our highly efficient RAD genotyping technology and a bevy of genomic tools including a sequenced genome. To study rapid parallel adaptive divergence in progress, and to understand the tempo of divergence, focal populations are needed that are newly-formed and that experienced the same fundamental environmental shift that caused strong natural selection. These conditions are met in ponds on Middleton, Montegue and Danger Islands, formed by seismic uplift during the 1964 Great Alaska Earthquake. These ponds were colonized by marine stickleback that quickly evolved in parallel in different watersheds into resident freshwater stickleback. In addition, we will study populations from the Cook Inlet basin that are approximately two orders of magnitude older. The pairs of newly derived freshwater stickleback and their marine ancestors will be used to address four fundamental questions about the genomic basis of rapid phenotypic divergence in very young stickleback populations: 1) What proportion of the genome is fixed during rapid adaptation in natural populations? 2) Can we use signatures of selective sweeps to identify selected regions of the genome that contribute to adaptation? 3) During parallel rapid adaptation events, how much of the genome evolves in parallel? 4) When genomic regions evolve in parallel, is this due to fixation of alleles at functionally related genes that are clustered in the genome, the same genes, or even the same alleles? The recent development of genetic and genomic tools for stickleback, including a sequenced genome and our novel Illumina sequenced RAD genotyping technique, in combination with the presence of paired ancestral and very recently derived populations, provides us with an excellent opportunity to answer these questions about the evolutionary genomics of rapid adaptation.

***Broader Impacts***

Our project will have both local and global community outreach. First, we will advance the training of young scientists who would not normally have the opportunity to experience the thrill of the scientific hunt. UAA is categorized by NSF as a predominantly undergraduate institution and Alaska is an EPSCoR state. This project entails three years of labor-intensive field collections and genetic analyses involving faculty working closely with graduate and undergraduate students at both UAA and UO. We intend to recruit undergraduate researchers from the Alaska Native student population at UAA. UAA has a robust infrastructure for undergraduate research and a strong programmatic support network for Alaska Native students. This infrastructure, along with UAA's active and effective program for training Alaska Natives in science and engineering (the NSF-sponsored Alaska Native Science and Engineering Program), make involved undergraduate participation in this project, particularly by Alaska Natives, an important opportunity. Native students, and other undergraduates, trained under this grant will have a strong research record to propel them into graduate school, and the opportunity in the future to serve their local communities as knowledgeable and creative scientists. In addition, two graduate students, one at each institution, will work closely with one another on this project, and will receive training in both labs at the two institutions. Besides our local impact in Alaska, we maintain a global scientific outreach. We have established a website (<http://fish.uoregon.edu/sb/index.php>) to provide educators and researchers around the world with knowledge and skills necessary to learn about and perform research with locally-available stickleback. On this site we have posted general information about stickleback suitable for the lay public, teaching materials that we developed for taking stickleback into the elementary school classroom, and pages devoted to enhancing stickleback research, including our husbandry and research protocols. We are excited by the power of this global tool, and we will continue to update and improve this world-wide dissemination of stickleback research, specifically by translating much of the content and material into numerous different languages. By acting locally to include Alaska Native students in our research and educational goals, and globally to disseminate tools and knowledge on our stickleback website, our research on stickleback evolutionary genomics and rapid evolution will have a broad impact.

## University of Alaska

Subject of RPL: Is the Tibetan Plateau Rising?	ADN/RPL #: 45-0-1105
Amount Requested: \$327,277	Appropriation Authority: Sec. 4, Ch. 17, SLA 2009, Page 9, Lines 12-16
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 14.40.40

### **PURPOSE**

The requested federal stimulus receipt authority will allow the University of Alaska Fairbanks to accept a National Science Foundation award for a project entitled: “Is the Tibetan Plateau Rising?”

This award is federally funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated April, 2009.

### **PREVIOUS LEGISLATIVE CONSIDERATION**

This project has not previously been considered. This is a new multi-year federal award that is effective July 1, 2009 and expires June 30, 2012. The award was issued on June 17, 2009 and has not been requested as part of the University’s budget.

### **TIMING ISSUES**

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority is not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009. There were two proposals submitted on this project, one in September 2007 and the second in March, 2007, but neither was approved until the additional National Science Foundation funding thru ARRA became available.

### **BUDGETARY ISSUES**

This project is directly aligned with the University of Alaska’s long term plans and mission: “The University of Alaska Fairbanks, the nation’s northernmost Land, Sea and Space Grant University and international research center, advances and disseminates knowledge through teaching, research and public service with an emphasis on Alaska, the circumpolar North and their diverse peoples. UAF – America’s Arctic University – promotes academic excellence, student success and lifelong learning.”

No State General Funds will be used, nor is any match required. The federal stimulus funds will be expended in FY10, FY11 and FY12. An indirect cost is being charged to the award to cover the administrative cost of the program.

The total amount of the award is \$327,277. This request adds an additional \$327,277 to the University's existing federal economic stimulus authority for competitive, discretionary, and incentive grants capital project appropriation contained within Sec. 4, Ch. 17, SLA 2009.

A copy of the award letter for Award No. EAR-0911677 is attached, along with the budget document detailing expenditures for the life of the grant.

Agency Contact: Michelle Rizk, (907) 450-8187

OMB Approved: \_\_\_\_\_ Date: \_\_\_\_\_

Award Date:  
Award No.  
Proposal No.

June 17, 2009  
EAR-0911677  
EAR-0911677

Ms. Maggie Griscavage  
Director, Grant and Contract Services  
University of Alaska Fairbanks  
109 ASC  
P.O. Box 757880  
Fairbanks, AK 99775-7880

Dear Ms. Griscavage:

The National Science Foundation hereby awards a grant of \$327,277 to University of Alaska Fairbanks for support of the project described in the proposal referenced above.

This project, entitled "Is the Tibetan Plateau Rising?," is under the direction of Jeffrey Freymueller.

This award is effective July 1, 2009 and expires June 30, 2012.

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:  
[http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=arra0509](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509)

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is also subject to Research Terms and Conditions (RTC, dated July 2008) and the NSF RTC Agency-Specific Requirements (dated January 2009) are available at <http://www.nsf.gov/awards/managing/rtc.jsp>. This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots..

This award is subject to the provisions of program solicitation NSF 06-544, entitled "Tectonics".

The attached budget indicates the amounts, by categories, on which NSF has based its support.

Please view the project reporting requirements for this award at the following web address

[<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=0911677>].

The cognizant NSF program official for this grant is David Fountain, (703) 292-8552.

The cognizant NSF grants official contact is Jessie L. Richardson, (703) 292-4811.

Sincerely,

Robert F. Joyce  
Grants and Agreements Officer

CFDA No. 47.082  
[fygrcon@uaf.edu](mailto:fygrcon@uaf.edu)

**FY 10 (Year 1) Budget Explanation: EAR-0911677 ('Is the Tibetan Plateau Rising?')**

A SENIOR PERSONNEL	
1. Jeffrey Freymueller, PI	\$ 10,092
B. OTHER PERSONNEL	
2. Ph.D. student academic year salary	\$ 19,745
3. Ph.D. student summer salary	\$ 7,274
Total salaries and wages	\$ 37,111
C. FRINGE BENEFITS	
32.1% of A1	\$ 3,240
7.9% of B3	\$ 575
Grad Student Health Insurance (12 months)	\$ 1,271
Total Fringe	\$ 5,086
TOTAL SALARIES AND WAGES	\$ 42,197
D. TRAVEL	
1. DOMESTIC	
Freymueller PI - one roundtrip ticket to Fall AGU meeting	\$ 1,045
Lodging for 6 days at \$164/day for AGU	\$ 984
Meals for 6 days at \$64/day for AGU	\$ 448
TOTAL DOMESTIC	\$ 2,477
2. FOREIGN	
1 Roundtrip airfare to Wuhan for PI or PhD Student	\$ 3,080
1 Roundtrip airfare to Xi'an for PhD Student or PI	\$ 3,080
8 days transit meals in Beijing (total) for PI/Student	\$ 760
6 days transit lodging in Beijing (total) for PI/Student	\$ 1,326
45 days meals in Fairbanks for each of 2 Chinese Collaborators in Fairbanks	\$ 2,700
45 days lodging in Fairbanks for each of 2 Chinese Collaborators in Fairbanks	\$ 3,600
TOTAL FOREIGN TRAVEL	\$ 14,546
TOTAL TRAVEL	\$ 17,023
E. OTHER DIRECT COSTS	
E1. Materials and Supplies	
Backup Media and Disks	\$ 500
Communications (phone, postage)	\$ 500
Miscellaneous Project Supplies	\$ 500
E2. Publication Costs/Page Charges	\$ 2,500
E3. Other Direct Costs	
AGU Registration Fees	\$ 400
PhD Student Tuition (academic year)	\$ 12,177
PhD Student Fees (academic year)	\$ 1,133
TOTAL OTHER DIRECT COSTS	\$ 17,710
F. TOTAL DIRECT COSTS	\$ 76,930
G. INDIRECT COSTS	
45.1% on all costs except student tuition	\$ 28,693
H. TOTAL DIRECT AND INDIRECT COSTS	\$ 105,623

NSF Salary support for Freymueller in FY 10 (Year 1). UAF's Fiscal year begins on 07/01/09. Under "Collaborative Research: St. Elias Erosion/Tectonics Project (STEEP)", 1 month from 09/08 to 08/09. This represents 1/6 of one month pro-rated from 07/09 to 08/09. All other NSF research grants with salary support expire on or before 06/30/09. Freymueller's support is for calendar year, not summer support, as his position is mostly soft money.

**FY 11 (Year 2) Budget Explanation: EAR-0911677 ('Is the Tibetan Plateau Rising?')**

A SENIOR PERSONNEL	
1. Jeffrey Freymueller, PI	\$ 10,546
B. OTHER PERSONNEL	
4. Ph.D. student academic year salary	\$ 19,745
5. Ph.D. student summer salary	\$ 7,274
Total salaries and wages	\$ 37,565
C. FRINGE BENEFITS	
32.1% of A1	\$ 3,385
7.9% of B3	\$ 575
Grad Student Health Insurance (12 months)	\$ 1,360
Total Fringe	\$ 5,320
TOTAL SALARIES AND WAGES	\$ 42,885
D. TRAVEL	
1. DOMESTIC	
Freymueller PI - one roundtrip ticket to Fall AGU meeting	\$ 1,150
Lodging for 6 days at \$164/day for AGU	\$ 984
Meals for 6 days at \$64/day for AGU	\$ 448
TOTAL DOMESTIC	\$ 2,582
2. FOREIGN	
1 Roundtrip airfare to Wuhan for PI or PhD Student	\$ 3,388
1 Roundtrip airfare to Xi'an for PhD Student or PI	\$ 3,388
8 days transit meals in Beijing (total) for PI/Student	\$ 760
6 days transit lodging in Beijing (total) for PI/Student	\$ 1,326
45 days meals in Fairbanks for each of 2 Chinese Collaborators in Fairbanks	\$ 2,700
45 days lodging in Fairbanks for each of 2 Chinese Collaborators in Fairbanks	\$ 3,600
TOTAL FOREIGN TRAVEL	\$ 15,162
TOTAL TRAVEL	\$ 17,744
E. OTHER DIRECT COSTS	
E1. Materials and Supplies	
Backup Media and Disks	\$ 500
Communications (phone, postage)	\$ 500
Miscellaneous Project Supplies	\$ 500
E2. Publication Costs/Page Charges	\$ 2,500
E3. Other Direct Costs	
AGU Registration Fees	\$ 400
PhD Student Tuition (academic year)	\$ 13,395
PhD Student Fees (academic year)	\$ 1,246
TOTAL OTHER DIRECT COSTS	\$ 19,041
F. TOTAL DIRECT COSTS	\$ 79,670
G. INDIRECT COSTS	
45.1% on all costs except student tuition	\$ 29,328
H. TOTAL DIRECT AND INDIRECT COSTS	\$ 108,998

NSF Salary support for Freymueller. None confirmed in FY 11 (Year 2).

**FY 12 (Year 3) Budget Explanation: EAR-0911677 ('Is the Tibetan Plateau Rising?')**

A. SENIOR PERSONNEL	
1. Jeffrey Freymueller, PI	\$ 11,020
B. OTHER PERSONNEL	
2. Ph.D. student academic year salary	\$ 19,745
3. Ph.D. student summer salary	\$ 7,274
Total salaries and wages	\$ 38,039
C. FRINGE BENEFITS	
32.1% of A1	\$ 3,537
7.9% of B3	\$ 575
Grad Student Health Insurance (12 months)	\$ 1,455
Total Fringe	\$ 5,567
TOTAL SALARIES AND WAGES	\$ 43,606
D. TRAVEL	
1. DOMESTIC	
Freymueller PI - one roundtrip ticket to Fall AGU meeting	\$ 1,264
Lodging for 6 days at \$164/day for AGU	\$ 984
Meals for 6 days at \$64/day for AGU	\$ 448
TOTAL DOMESTIC	\$ 2,696
2. FOREIGN	
1 Roundtrip airfare to Wuhan for PI or PhD Student	\$ 3,726
1 Roundtrip airfare to Xi'an for PhD Student or PI	\$ 3,727
8 days transit meals in Beijing (total) for PI/Student	\$ 760
6 days transit lodging in Beijing (total) for PI/Student	\$ 1,326
45 days meals in Fairbanks for each of 2 Chinese Collaborators in Fairbanks	\$ 2,700
45 days lodging in Fairbanks for each of 2 Chinese Collaborators in Fairbanks	\$ 3,600
TOTAL FOREIGN TRAVEL	\$ 15,839
TOTAL TRAVEL	\$ 18,535
E. OTHER DIRECT COSTS	
E1. Materials and Supplies	
Backup Media and Disks	\$ 500
Communications (phone, postage)	\$ 500
Miscellaneous Project Supplies	\$ 500
E2. Publication Costs/Page Charges	\$ 2,500
E3. Other Direct Costs	
AGU Registration Fees	\$ 400
PhD Student Tuition (academic year)	\$ 14,734
PhD Student Fees (academic year)	\$ 1,371
TOTAL OTHER DIRECT COSTS	\$ 20,505
F. TOTAL DIRECT COSTS	\$ 82,646
G. INDIRECT COSTS	
45.1% on all costs except student tuition	\$ 30,010
H. TOTAL DIRECT AND INDIRECT COSTS	\$ 112,656

**NSF Salary support for Freymueller. None confirmed in FY 12 (Year 3).**

## University of Alaska

Subject of RPL: IPY: Human Response to Climate Change at Cape Espenberg	ADN/RPL #: 45-0-1106
Amount Requested: \$508,138	Appropriation Authority: Sec. 4, Ch. 17, SLA 2009, Page 9, Lines 12-16
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 14.40.40

### **PURPOSE**

The requested federal stimulus receipt authority will allow the University of Alaska Fairbanks to accept a National Science Foundation award for a project entitled: “IPY: Human Response to Climate Change at Cape Espenberg AD800-1400”.

This award is federally funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated April, 2009.

### **PREVIOUS LEGISLATIVE CONSIDERATION**

This project has not previously been considered. This is a new multi-year federal award that is effective June 15, 2009 and expires May 31, 2012. The sub-award was issued on June 12, 2009 by the University of Colorado and has not been requested as part of the University’s budget.

### **TIMING ISSUES**

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority was not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009.

### **BUDGETARY ISSUES**

This project is directly aligned with the University of Alaska’s long term plans and mission: “The University of Alaska Fairbanks, the nation’s northernmost Land, Sea and Space Grant University and international research center, advances and disseminates knowledge through teaching, research and public service with an emphasis on Alaska, the circumpolar North and their diverse peoples. UAF – America’s Arctic University – promotes academic excellence, student success and lifelong learning.”

No State General Funds will be used, nor is any match required. The federal stimulus funds will be expended in FY09 thru FY12. An indirect cost is being charged to the award to cover the administrative cost of the program.

The total amount of the award is \$508,138. This request adds an additional \$508,138 to the University's existing federal economic stimulus authority for competitive, discretionary, and incentive grants capital project appropriation contained within Sec. 4, Ch. 17, SLA 2009.

A copy of the agreement for this Sub Award No. 1545792 under Award No. ARC 0755725 is attached, along with an executive summary and a budget document detailing expenditures for the life of the grant.

Agency Contact: Michelle Rizk, (907) 450-8187

OMB Approved: \_\_\_\_\_ Date: \_\_\_\_\_

# Subaward Agreement

## ARRA FUNDS

Institution/Organization ("PRIME RECIPIENT") Name: Regents of the University of Colorado, a body corporate, acting on behalf of the University of Colorado at Boulder  Address: 3100 Marine Street, 572 UCB Boulder, CO 80309-0572	Institution/Organization ("SUBRECIPIENT") Name: University of Alaska-Fairbanks  Address: P.O. Box 757880 Fairbanks, AK 99775-7880  EIN No.: 92-6000147		
Prime Award No. <p style="text-align: center;">ARC 0755725</p>	CU Reference No. <p style="text-align: center;">1545792</p>		
Awarding Agency <p style="text-align: center;">NSF</p>	CFDA No. <p style="text-align: center;">47.082</p>		
Subaward Period of Performance <p style="text-align: center;">6/15/09-5/31/12</p>	<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;">                             Amount Funded this Action  <p style="text-align: center;">508,138</p> </td> <td style="width: 50%; border: none;">                             Est. Total (if incrementally funded)  <p style="text-align: center;">508,138</p> </td> </tr> </table>	Amount Funded this Action <p style="text-align: center;">508,138</p>	Est. Total (if incrementally funded) <p style="text-align: center;">508,138</p>
Amount Funded this Action <p style="text-align: center;">508,138</p>	Est. Total (if incrementally funded) <p style="text-align: center;">508,138</p>		

Project Title  
**IPY: Human Response to Climate Change at Cape Espenberg AD 800-1400**  
 Reporting Requirements - See Attachment 4

### Terms and Conditions

- 1) Prime Recipient hereby awards a cost reimbursable subaward, as described above, to Subrecipient. The statement of work and budget for this subaward are shown in Attachment 5. In its performance of subaward work, Subrecipient shall be an independent entity and not an employee or agent of Prime Recipient.
- 2) Prime Recipient shall reimburse Subrecipient not more often than monthly for allowable costs. All invoices shall be submitted using Subrecipient's standard invoice, but at a minimum shall include current and cumulative costs by major cost categories (including cost sharing), subaward number, standing purchase order number and certification as to truth and accuracy of invoice. *Invoices that do not reference Prime Recipient's standing purchase order number shall be returned to Subrecipient.* Invoices and questions concerning invoice receipt or payments should be directed to the Prime Recipient's Financial Contact, as shown in Attachment 3.
- 3) A final invoice of cumulative costs incurred, including cost sharing, marked "FINAL," must be submitted to Prime Recipient's Financial Contact NOT LATER THAN sixty (60) days after subaward end date. The final statement of costs shall constitute Subrecipient's final financial report.
- 4) All payments shall be considered provisional and subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Subrecipient.
- 5) Matters concerning the technical performance of this subaward should be directed to the appropriate party's Principal Investigator, as shown in Attachment 3. Technical reports are required as shown in Attachment 2.
- 6) Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this subaward agreement, and any changes requiring prior approval, should be directed to the appropriate party's Administrative Contact, as shown in Attachment 3. Any such changes made to this subaward agreement require the written approval of each party's Authorized Official, as shown in Attachment 3.
- 7) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.
- 8) Either party may terminate this agreement with thirty days written notice to the appropriate party's Administrative Contact, as shown in Attachment 3. Prime Recipient shall pay Subrecipient for termination costs as allowable under OMB Circular A-21 or A-122, as applicable.
- 9) No-cost extensions require the approval of the Prime Recipient. Any requests for a no-cost extension should be addressed to and received by the Administrative Contact, as shown in Attachment 3, not less than thirty days prior to the desired effective date of the requested change.
- 10) The Subaward is subject to the terms and conditions of the Prime Award and other special terms and conditions, as identified in Attachment 2.
- 11) By signing below Subrecipient makes the certifications and assurances shown in Attachments 1 and 2.
- 12) This Subaward Agreement will be assigned a purchase order number by the University of Colorado Procurement Service Center. The purchase order number is assigned for the administrative convenience of Prime Recipient and the purchase order's terms and conditions do NOT form a part of this Subaward Agreement. The purchase order number must be included on all invoices in order to facilitate timely payment to the Subrecipient.

By an Authorized Official of Prime Recipient:  <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <p style="text-align: center;">Date</p>	By an Authorized Official of Subrecipient:  <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <p style="text-align: center;">Date</p>
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**Attachment 1  
Subaward Agreement**

By signing the Subaward Agreement, the authorized official of Subrecipient certifies, to the best of his/her knowledge and belief, that:

**Certification Regarding Lobbying**

1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Subrecipient, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Collaborator shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," to the Prime Recipient.

3) The Subrecipient shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U. S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**Debarment, Suspension, and Other Responsibility Matters**

Subrecipient certifies by signing this Subaward Agreement that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency.

**OMB Circular A-133 Assurance**

Subrecipient assures Prime Recipient that it complies with A-133 and that it will notify Prime Recipient of completion of required audits and of any adverse findings, which impact this subaward.

**Attachment 2**  
**Research Subaward Agreement**  
**Prime Award Terms and Conditions**  
**NSF**

**Certifications/Assurances**

1. By signing this Research Subaward Agreement Subrecipient makes the certifications and assurances specified in the Research Terms and Conditions Appendix C found at <http://www.nsf.gov/bfa/dias/policy/rtc/appc.pdf>

**General terms and conditions** as of the effective date of this Research Subaward Agreement:

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at: [http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=arra0509](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509).

The provisions of NSF 07-536, "International Polar Year 2007" are applicable to this award, available at: <http://www.nsf.gov/pubs/2007/nsf07536/nsf07536.htm>.

1. The restrictions on the expenditure of federal funds in appropriations acts are applicable to this subaward to the extent those restrictions are pertinent.
2. OMB Circular A-110 or 45 CFR Part 602 as applicable.
3. The Proposal and Award Policies and Procedures Guide, including addenda in effect as of the beginning date of the period of performance.
4. Research Terms and Conditions found at < <http://www.nsf.gov/bfa/dias/policy/rtc/terms.pdf>> and Agency Specific Requirements found at < [http://www.nsf.gov/pubs/policydocs/rtc/nsf\\_708.pdf](http://www.nsf.gov/pubs/policydocs/rtc/nsf_708.pdf)>, except for the following:
  - a. The right to initiate an automatic one-time extension of the end date provided by Article 25(c) (2) is replaced by the need to obtain prior written approval from the Prime Recipient;
  - b. The payment mechanism described in Article 22 and the financial reporting requirements in Article 52 of the Research Terms and Conditions and Article 9 of the Agency-Specific Requirements are replaced with Terms and Conditions (1) through (4) of this agreement; and
  - c. Any prior approvals are to be sought from the Prime Recipient and not the Federal Awarding Agency.
5. Title to equipment costing \$5,000 or more that is purchased or fabricated with research funds or Subrecipient cost sharing funds, as direct costs of the project or program, shall unconditionally vest in the Subrecipient upon acquisition without further obligation to the Federal Awarding Agency subject to the conditions specified in Article 34(a) of the Research Terms and Conditions.

Attachment 2 (continued)  
Research Subaward Agreement  
Prime Award Terms and Conditions

**American Recovery and Reinvestment Act of 2009**

**Article 1. National Science Foundation American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) Award Term**

(a) This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5). Unless otherwise specified, ARRA funding should be considered one-time funding.

(b) Recipients must comply with standard NSF award conditions (Research Terms and Conditions or Grant General Conditions, as applicable) as well as the requirements set forth in ARRA, including, but not limited to, the reporting requirements specified in the award term entitled, "*Reporting and Registration Requirements under Section 1512 of the American Recovery and Reinvestment Act of 2009, Public Law 111-5*", as well as the accompanying OMB guidance (available on the Recovery.gov website.) Failure to submit timely reports may result in NSF taking administrative action, including disallowance of costs or the suspension or termination of the award.

(c) Recipients of ARRA funds are reminded that such funds must be separately tracked and monitored independently from any non-ARRA funding.

(d) Recipients of ARRA funds are reminded that ARRA-related terms and conditions are required to be incorporated into any subrecipient agreements, as appropriate.

(e) NSF will monitor ARRA funds, and, if, after 12 months, no allowable expenditures have been incurred, NSF may consider reducing or terminating the award and reallocating the funds.

**(End of award term)**

**Article 2. Reporting and Registration Requirements under Section 1512 of the American Recovery and Reinvestment Act of 2009, (Public Law 111-5)**

(a) This award requires the recipient to complete projects or activities which are funded under the American Recovery and Reinvestment Act of 2009 ("Recovery Act") and to report on use of Recovery Act funds provided through this award. Information from these reports will be made available to the public.

(b) The reports are due no later than **five** calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act.

(c) Recipients and their first-tier recipients must maintain current registrations in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)) at all times during which they have active federal awards funded with Recovery Act funds. A Dun and Bradstreet Data Universal Numbering System (DUNS) Number ([www.dnb.com](http://www.dnb.com)) is one of the requirements for registration in the Central Contractor Registration.

**(End of award term)**

**Article 3. Recovery Act Transactions listed in Schedule of Expenditures of Federal Awards and Recipient Responsibilities for Informing Sub-recipients**

(a) To maximize the transparency and accountability of funds authorized under the American Recovery and Reinvestment Act of 2009 (Public Law 111-5) (Recovery Act) as required by Congress and in accordance with 2 CFR 215, "Uniform Administrative Requirements for Grants and Agreements" and OMB A-102 Common Rules provisions, recipients agree to maintain records that identify adequately the source and application of Recovery Act funds.

(b) For recipients covered by the Single Audit Act Amendments of 1996 and OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," recipients agree to separately identify the expenditures for Federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC) required by OMB Circular A-133. This shall be accomplished by identifying expenditures for Federal awards made under Recovery Act separately on the SEFA, and as separate rows under Item 9 of Part III on the SF-SAC by CFDA number, and inclusion of the prefix "ARRA-" in identifying the name of the Federal program on the SEFA and as the first characters in Item 9d of Part III on the SF-SAC.

(c) Recipients agree to separately identify to each subrecipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, CFDA number, and amount of Recovery Act funds. When a recipient awards Recovery Act funds for an existing program, the information furnished to sub-recipients shall distinguish the sub-awards of incremental Recovery Act funds from regular sub-awards under the existing program.

(d) Recipients agree to require their subrecipients to include on their SEFA information to specifically identify Recovery Act funding similar to the requirements for the recipient SEFA

described above. This information is needed to allow the recipient to properly monitor subrecipient expenditure of ARRA funds as well as oversight by the Federal awarding agencies, Offices of Inspector General and the Government Accountability Office

**(End of award term)**

**Article 4. Protecting State and Local Government and Contractor Whistleblowers under Section 1553 of the American Recovery and Reinvestment Act of 2009, (Public Law 111-5)**

This article contains ARRA's statutory provisions prohibiting non-Federal employers receiving covered funds from taking actions against employees in reprisal for whistleblowing. Please note, that, pursuant to section (e), any employer receiving covered funds must post notice of the rights and remedies outlined in this award term.

**(a) PROHIBITION OF REPRISALS.**—An employee of any non-Federal employer receiving covered funds may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing, including a disclosure made in the ordinary course of an employee's duties, to the Board, an inspector general, the Comptroller General, a member of Congress, a State or Federal regulatory or law enforcement agency, a person with supervisory authority over the employee (or such other person working for the employer who has the authority to investigate, discover, or terminate misconduct), a court or grand jury, the head of a Federal agency, or their representatives, information that the employee reasonably believes is evidence of—

(1) gross mismanagement of an agency contract or grant relating to covered funds;

(2) a gross waste of covered funds;

(3) a substantial and specific danger to public health or safety related to the implementation or use of covered funds;

(4) an abuse of authority related to the implementation or use of covered funds; or

(5) a violation of law, rule, or regulation related to an agency contract (including the competition for or negotiation of a contract) or grant, awarded or issued relating to covered funds.

**(b) INVESTIGATION OF COMPLAINTS.**—

(1) **IN GENERAL.**—A person who believes that the person has been subjected to a reprisal prohibited by subsection (a) may submit a complaint regarding the reprisal to the appropriate inspector general. Except as provided under paragraph (3), unless the inspector general determines that the complaint is frivolous, does not relate to covered funds, or another Federal or State judicial or administrative proceeding has previously been invoked to resolve such complaint, the inspector general shall investigate the complaint and, upon completion of such investigation, submit a report of the findings of the investigation to the person, the person's employer, the head of the appropriate agency, and the Board.

**(2) TIME LIMITATIONS FOR ACTIONS.**—

(A) **IN GENERAL.**—Except as provided under subparagraph (B), the inspector general shall, not later than 180 days after receiving a complaint under paragraph (1)—

(i) make a determination that the complaint is frivolous, does not relate to covered funds, or another Federal or State judicial or administrative proceeding has previously been invoked to resolve such complaint; or (ii) submit a report under paragraph (1).

**(B) EXTENSIONS.**—

(i) **VOLUNTARY EXTENSION AGREED TO BETWEEN INSPECTOR GENERAL AND COMPLAINANT.**—If the inspector general is unable to complete an investigation under this section in time to submit a report within the 180-day period specified under subparagraph (A) and the person submitting the complaint agrees to an extension of time, the inspector general shall submit a report under paragraph (1) within such additional period of time as shall be agreed upon between the inspector general and the person submitting the complaint.

(ii) **EXTENSION GRANTED BY INSPECTOR GENERAL.**—

If the inspector general is unable to complete an investigation under this section in time to submit a report within the 180-day period specified under subparagraph (A), the inspector general may extend the period for not more than 180 days without agreeing with the person submitting the complaint to such extension, provided that the inspector general provides a written explanation (subject to the authority to exclude information under paragraph (4)(C)) for the decision, which shall be provided to both the person submitting the complaint and the non-Federal employer.

(iii) **SEMI-ANNUAL REPORT ON EXTENSIONS.**—The inspector general shall include in semi-annual reports to Congress a list of those investigations for which the inspector general received an extension.

**(3) DISCRETION NOT TO INVESTIGATE COMPLAINTS.—**

(A) **IN GENERAL.**—The inspector general may decide not to conduct or continue an investigation under this section upon providing to the person submitting the complaint and the non-Federal employer a written explanation (subject to the authority to exclude information under paragraph (4)(C)) for such decision.

(B) **ASSUMPTION OF RIGHTS TO CIVIL REMEDY.**—Upon receipt of an explanation of a decision not to conduct or continue an investigation under subparagraph (A), the person submitting a complaint shall immediately assume the right to a civil remedy under subsection (c)(3) as if the 210-day period specified under such subsection has already passed.

(C) **SEMI-ANNUAL REPORT.**—The inspector general shall include in semi-annual reports to Congress a list of those investigations the inspector general decided not to conduct or continue under this paragraph.

**(4) ACCESS TO INVESTIGATIVE FILE OF INSPECTOR GENERAL.—**

(A) **IN GENERAL.**—The person alleging a reprisal under this section shall have access to the investigation file of the appropriate inspector general in accordance with section 552a of title 5, United States Code (commonly referred to as the “Privacy Act”). The investigation of the inspector general shall be deemed closed for purposes of disclosure under such section when an employee files an appeal to an agency head or a court of competent jurisdiction.

(B) **CIVIL ACTION.**—In the event the person alleging the reprisal brings suit under subsection (c)(3), the person alleging the reprisal and the non-Federal employer shall have access to the investigative file of the inspector general in accordance with the Privacy Act.

(C) **EXCEPTION.**—The inspector general may exclude from disclosure—

(i) information protected from disclosure by a provision of law; and (ii) any additional information the inspector general determines disclosure of which would impede a continuing investigation, provided that such information is disclosed once such disclosure would no longer impede such investigation, unless the inspector general determines that disclosure of law enforcement techniques, procedures, or information could reasonably be expected to risk circumvention of the law or disclose the identity of a confidential source.

(5) **PRIVACY OF INFORMATION.**—An inspector general investigating an alleged reprisal under this section may not respond to any inquiry or disclose any information from or about any person alleging such reprisal, except in accordance with the provisions of section 552a of title 5, United States Code, or as required by any other applicable Federal law.

**(c) REMEDY AND ENFORCEMENT AUTHORITY.—**

**(1) BURDEN OF PROOF.—**

**(A) DISCLOSURE AS CONTRIBUTING FACTOR IN REPRISAL.—**

(i) **IN GENERAL.**—A person alleging a reprisal under this section shall be deemed to have affirmatively established the occurrence of the reprisal if the person demonstrates that a disclosure described in subsection (a) was a contributing factor in the reprisal.

(ii) **USE OF CIRCUMSTANTIAL EVIDENCE.**—A disclosure may be demonstrated as a contributing factor in a reprisal for purposes of this paragraph by circumstantial evidence, including—

(I) evidence that the official undertaking the reprisal knew of the disclosure; or

(II) evidence that the reprisal occurred within a period of time after the disclosure such that a reasonable person could conclude that the disclosure was a contributing factor in the reprisal.

**(B) OPPORTUNITY FOR REBUTTAL.**—The head of an agency may not find the occurrence of a reprisal with respect to a reprisal that is affirmatively established under subparagraph (A) if the non-Federal employer demonstrates by clear and convincing evidence that the non-Federal employer would have taken the action constituting the reprisal in the absence of the disclosure.

**(2) AGENCY ACTION.**—Not later than 30 days after receiving an inspector general report under subsection (b), the head of the agency concerned shall determine whether there is sufficient basis to conclude that the non-Federal employer has subjected the complainant to a reprisal prohibited by subsection (a) and shall either issue an order denying relief in whole or in part or shall take 1 or more of the following actions:

(A) Order the employer to take affirmative action to abate the reprisal.

(B) Order the employer to reinstate the person to the position that the person held before the reprisal, together with the compensation (including back pay), compensatory damages, employment benefits, and other terms and conditions of employment that would apply to the person in that position if the reprisal had not been taken.

(C) Order the employer to pay the complainant an amount equal to the aggregate amount of all costs and expenses (including attorneys' fees and expert witnesses' fees) that were reasonably incurred by the complainant for, or in connection with, bringing the complaint regarding the reprisal, as determined by the head of the agency or a court of competent jurisdiction.

**(3) CIVIL ACTION.**—If the head of an agency issues an order denying relief in whole or in part under paragraph (1), has not issued an order within 210 days after the submission of a complaint under subsection (b), or in the case of an extension of time under subsection (b)(2)(B)(i), within 30 days after the expiration of the extension of time, or decides under subsection (b)(3) not to investigate or to discontinue an investigation, and there is no showing that such delay or decision is due to the bad faith of the complainant, the complainant shall be deemed to have exhausted all administrative remedies with respect to the complaint, and the complainant may bring a de novo action at law or equity against the employer to seek compensatory damages and other relief available under this section in the appropriate district court of the United States, which shall have jurisdiction over such an action without regard to the amount in controversy. Such an action shall, at the request of either party to the action, be tried by the court with a jury.

**(4) JUDICIAL ENFORCEMENT OF ORDER.**—Whenever a person fails to comply with an order issued under paragraph (2), the head of the agency shall file an action for enforcement of such order in the United States district court for a district in which the reprisal was found to have occurred. In any action brought under this paragraph, the court may grant appropriate relief, including injunctive relief, compensatory and exemplary damages, and attorneys' fees and costs.

**(5) JUDICIAL REVIEW.**—Any person adversely affected or aggrieved by an order issued under paragraph (2) may obtain review of the order's conformance with this subsection, and any regulations issued to carry out this section, in the United States court of appeals for a circuit in which the reprisal is alleged in the order to have occurred. No petition seeking such review may be filed more than 60 days after issuance of the order by the head of the agency. Review shall conform to chapter 7 of title 5, United States Code.

**(d) NONENFORCEABILITY OF CERTAIN PROVISIONS WAIVING RIGHTS AND REMEDIES OR REQUIRING ARBITRATION OF DISPUTES.—**

**(1) WAIVER OF RIGHTS AND REMEDIES.**—Except as provided under paragraph (3), the rights and remedies provided for in this section may not be waived by any agreement, policy, form, or condition of employment, including by any predispute arbitration agreement.

**(2) PREDISPUTE ARBITRATION AGREEMENTS.**—Except as provided under paragraph (3), no predispute arbitration agreement shall be valid or enforceable if it requires arbitration of a dispute arising under this section.

**(3) EXCEPTION FOR COLLECTIVE BARGAINING AGREEMENTS.—**

Notwithstanding paragraphs (1) and (2), an arbitration provision in a collective bargaining agreement shall be enforceable as to disputes arising under the collective bargaining agreement.

**(e) REQUIREMENT TO POST NOTICE OF RIGHTS AND REMEDIES.—**

Any employer receiving covered funds shall post notice of the rights and remedies provided under this section.

**(f) RULES OF CONSTRUCTION.—**

**(1) NO IMPLIED AUTHORITY TO RETALIATE FOR NON-PROTECTED DISCLOSURES.**—Nothing in this section may be construed to authorize the discharge of, demotion of, or discrimination against an employee for a disclosure other than a disclosure protected by subsection (a) or to modify or derogate from a right or remedy otherwise available to the employee.

**(2) RELATIONSHIP TO STATE LAWS.**—Nothing in this section may be construed to preempt, preclude, or limit the protections provided for public or private employees under State whistleblower laws.

**(g) DEFINITIONS.**—In this section:

**(1) ABUSE OF AUTHORITY.**—The term "abuse of authority" means an arbitrary and capricious exercise of authority by a contracting official or employee that adversely affects the rights of any person, or that results in personal gain or advantage to the official or employee or to preferred other persons.

**(2) COVERED FUNDS.**—The term “covered funds” means any contract, grant, or other payment received by any non-Federal employer if—  
(A) the Federal Government provides any portion of the money or property that is provided, requested, or demanded; and (B) at least some of the funds are appropriated or otherwise made available by this Act.

**(3) EMPLOYEE.**—The term “employee”—  
(A) except as provided under subparagraph (B), means an individual performing services on behalf of an employer; and (B) does not include any Federal employee or member of the uniformed services (as that term is defined in section 101(a)(5) of title 10, United States Code).

**(4) NON-FEDERAL EMPLOYER.**—The term “non-Federal employer”—  
(A) means any employer—

(i) with respect to covered funds—

(I) the contractor, subcontractor, grantee, or recipient, as the case may be, if the contractor and (II) any professional membership organization, certification or other professional body, any agent or licensee of the Federal government, or any person acting directly or indirectly in the interest of an employer receiving covered funds; or (ii) with respect to covered funds received by a State or local government, the State or local government receiving the funds and any contractor or subcontractor of the State or local government; and (B) does not mean any department, agency, or other entity of the Federal Government.

**(5) STATE OR LOCAL GOVERNMENT.**—The term “State or local government” means—

(A) the government of each of the several States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, or any other territory or possession of the United States; or (B) the government of any political subdivision of a government listed in subparagraph (A).

**(6) BOARD –** The term “Board” means the Recovery Accountability and Transparency Board, which was established in section 1521 of ARRA.

**(End of award term)**

#### **Article 5. ARRA Provision 1604 Regarding Limit on Funds**

a. Section 1604 of the Recovery Act specifies that: “None of the funds appropriated or otherwise made available in this Act may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.”

b. In accordance with this ARRA provision, no awards may be made using ARRA funds to support any of these types of establishments and/or facilities. In addition, in the March 20, 2009 White House Memorandum, Subject: *Ensuring Responsible Spending of Recovery Act Funds*, President Obama noted that, to the extent permitted by law, agencies “shall not approve or otherwise support funding for projects that are similar to those described in section 1604 ...” The Memorandum did not elaborate on the types of projects that might be “similar” to those listed in section 1604. Thus, if an awardee plans to enter into a subaward arrangement with an establishment and/or facility that may be similar to those projects listed in section 1604, the expenditure of funds.

**(End of award term)**

#### **Article 6. Referrals to the NSF Office of the Inspector General**

The recipient (including any subrecipients of ARRA funds), shall promptly refer to the NSF Inspector General any credible evidence that a principal, employee, agent, contractor, subgrantee,

subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving those funds.

**(End of award term)**

Attachment 2 (continued)  
Research Subaward Agreement  
Prime Award Terms and Conditions

**American Recovery and Reinvestment Act of 2009**

**Buy American - Use of American Iron, Steel, and Manufactured Goods**

Recipients may not use any funds obligated under this award for the construction, alteration, maintenance, or repair of a public building or public work unless all of the iron, steel, and manufactured goods used in the project are produced in the United States unless HHS waives the application of this provision. (ARRA Sec. 1605)

**Wage Rate Requirements**

*[This term and condition shall not apply to tribal contracts entered into by the Indian Health Service funded with this appropriation. (ARRA Title VII—Interior, Environment, and Related Agencies, Department of Health and Human Services, Indian Health Facilities)]*

Subject to further clarification issued by the Office of Management and Budget, and notwithstanding any other provision of law and in a manner consistent with other provisions of ARRA, all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to this award shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code. With respect to the labor standards specified in this section, the Secretary of Labor shall have the authority and functions set forth in Reorganization Plan Numbered 14 of 1950 (64 Stat. 1267; 5 U.S.C. App.) and section 3145 of title 40, United States Code. (ARRA Sec. 1606)

**Preference for Quick Start Activities (ARRA)**

In using funds for this award for infrastructure investment, recipients shall give preference to activities that can be started and completed expeditiously, including a goal of using at least 50 percent of the funds for activities that can be initiated not later than 120 days after the date of the enactment of ARRA. Recipients shall also use grant funds in a manner that maximizes job creation and economic benefit. (ARRA Sec. 1602)

**Limit on Funds (ARRA)**

None of the funds appropriated or otherwise made available in ARRA may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604)

**Disclosure of Fraud or Misconduct**

Each recipient or sub-recipient awarded funds made available under the ARRA shall promptly refer to the HHS Office of Inspector General any credible evidence that a principal, employee, agent, contractor, sub-recipient, subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving those funds. The HHS Office of Inspector General can be reached at <http://www.oig.hhs.gov/fraud/hotline/>

**ARRA: One-Time Funding**

Unless otherwise specified, ARRA funding to existent or new awardees should be considered one-time funding.

**Schedule of Expenditures of Federal Awards**

Recipients agree to separately identify the expenditures for each grant award funded under ARRA on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC) required by Office of Management and Budget Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations." This identification on the SEFA and SF-SAC shall include the Federal award number, the Catalog of Federal Domestic Assistance (CFDA) number, and amount such that separate accountability and disclosure is provided for ARRA funds by Federal award number consistent with the recipient reports required by ARRA Section 1512(c). (2 CFR 215.26, 45 CFR 74.26, and 45 CFR 92.26)

**Attachment 3  
Subaward Agreement**

Prime Recipient Contacts	Subrecipient Contacts
<p>Administrative Contact</p> <p>Name: Mindy Vallejos, Subcontract Administrator</p> <p>Address: University of Colorado Office of Contract and Grants 3100 Marine Street, 572 UCB Boulder, CO 80309-0572</p> <p>Telephone: 303-492-6223 Fax: 303-735-1899 Email: <a href="mailto:Mindy.Vallejos@colorado.edu">Mindy.Vallejos@colorado.edu</a></p>	<p>Administrative Contact</p> <p>Name: Maggie G. Griscavage</p> <p>Address: University of Alaska – Fairbanks P.O. Box 757880 Fairbanks, AK 99775-7880</p> <p>Telephone: 907-474-7301 Fax: 907-474-5506 Email: <a href="mailto:fngmgl@usf.edu">fngmgl@usf.edu</a></p>
<p>Principal Investigator</p> <p>Name: John Hoffecker Address: University of Colorado INSTAAR 450 UCB Boulder, CO 80309-0450</p> <p>Telephone: 303-735-7804 Fax: 303-492-6388 Email: <a href="mailto:john.hoffecker@colorado.edu">john.hoffecker@colorado.edu</a></p>	<p>Principal Investigator</p> <p>Name: Nancy Bigelow Address: University of Alaska – Fairbanks Alaska Quaternary Center P.O. Box 757880 Fairbanks, AK 99775-7880</p> <p>Telephone: 907-474-5433 Fax: 907-474-5506 Email: <a href="mailto:fnhb@uaf.edu">fnhb@uaf.edu</a></p>
<p>Financial Contact</p> <p>Name: Julie Hughes Telephone: 303-492-5106 Email: <a href="mailto:Julie.Hughes@colorado.edu">Julie.Hughes@colorado.edu</a></p> <p>Remit Invoices to: The University of Colorado Procurement Service Center Accounts Payable PO Box 173364 Campus Box 119 Denver, CO 80217-3364</p>	<p>Reporting Contact- Submit ARRA reports to:</p> <p>Name: Sutharshini Thanikasalam Telephone: 303-735-4760 Email: <a href="mailto:sutha@colorado.edu">sutha@colorado.edu</a></p> <p>Remit Reports to: Sutharshini Thanikasalam SPA University of Colorado UCB 579 Boulder, CO 80309-0579</p>
<p>Authorized Official</p> <p>Name: Randall W. Draper, PhD, Director or Kathleen Reneau Lorenzi, CPCM, Associate Director</p> <p>Address: University of Colorado Office of Contract and Grants 3100 Marine Street, 572 UCB Boulder, CO 80309-0572</p>	<p>Authorized Official</p> <p>Name: Maggie G. Griscavage</p> <p>Address: University of Alaska – Fairbanks P.O. Box 757880 Fairbanks, AK 99775-7880</p>

## Attachment 4 Reporting Requirements

**Definition.** "Reporting" includes invoicing, financial reporting, and technical reporting.

**Invoicing.** Subrecipient must invoice the Prime Recipient no less than monthly.

**Compliance with the American Recovery and Reinvestment Act.** Subrecipient must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. If Subrecipient issues subawards under this agreement, Subrecipient must report on all sub-recipient (sub-grantee and sub-contractor) activities as specified below.

**Responsibilities for Informing Sub-recipients.** If Subrecipient issues subawards under this agreement, Subrecipient agrees to separately identify to each sub-recipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, any special CFDA number assigned for ARRA purposes, and amount of ARRA funds. (2 CFR 215.26, 45 CFR 74.26, and 45 CFR 92.26)

**Amendment for Updated Reporting Requirements.** A unilateral amendment may be issued to update reporting requirements in response to any additional requirements or guidance from the OMB or Sponsor including, but not limited to, the definition of terms and data elements, and specific instructions for reporting and report formats.

**Quarterly ARRA Report.** Subrecipient shall submit ARRA reports quarterly, to the Reporting contact listed on Attachment 3A, due 4/5, 7/5, 10/5, and 1/5 for the duration of the subaward. The Quarterly ARRA Reports shall contain the following:

### A. Subrecipient Type.

Subrecipient shall disclose its entity type on the Quarterly ARRA Report, based on the following list:

- (1) State Government.
- (2) County Government.
- (3) City or Township Government.
- (4) Special District Government.
- (5) Regional Organization.
- (6) U.S. Territory or Possession.
- (7) Independent School District.
- (8) Public/State Controlled Institution of Higher Education.
- (9) Indian/Native American Tribal Government (Federally Recognized).
- (10) Indian/Native American Tribal Government (Other than Federally Recognized).
- (11) Indian/Native American Tribally Designated Organization.
- (12) Public/Indian Housing Authority.
- (13) Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education).
- (14) Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education).
- (15) Private Institution of Higher Education.
- (16) Individual.
- (17) For-Profit Organization (Other than Small Business).
- (18) Small Business.
- (19) Hispanic-serving Institution.
- (20) Historically Black Colleges and Universities (HBCUs).
- (21) Tribally Controlled Colleges and Universities (TCCUs).
- (22) Alaska Native and Native Hawaiian Serving Institutions.
- (23) Non-domestic (non-US) Entity.
- (24) Other

### B. Performance Site

Subrecipient shall identify the physical location of the primary place of performance of the Subaward, including:

- (1) Street Address
- (2) City, State, ZIP Code
- (3) Congressional District

### C. Jobs Created and Retained

(1) A brief description of the types of jobs created and jobs retained in the United States and outlying areas. "Jobs or positions created" means those new positions created and filled, or previously existing unfilled positions that are filled, as a result of Recovery Act funding. "Jobs or positions retained" means those previously existing filled positions that are retained as a result of Recovery Act funding. This description may rely on job titles, broader labor categories, or the contractor's existing practice for describing jobs as long as the terms used are widely understood and describe the general nature of the work; and

(2) An estimate of the number of jobs created and jobs retained in the United States and outlying areas. At a minimum, this estimate shall include any new positions created and any existing filled positions that were retained to support or carry out Recovery Act projects or activities managed directly by the recipient, and if known, by subrecipients. The number shall be expressed as "full-time equivalent" (FTE), calculated cumulatively as all hours worked divided by the total number of hours in a full-time schedule, as defined by the recipient. For instance, two full-time employees and one part-time employee working half days would be reported as 2.5 FTE in each calendar quarter.

(3) A job cannot be reported as both created and retained.

### D. Most Highly Compensated Officers

Subrecipient shall provide the names and total compensation of the five most highly compensated officers of the Subrecipient entity if the following items (1) and (2) apply.

If either item (1) or (2) does not apply, the Subrecipient's report shall include a statement certifying this.

If these items do apply, but there is no change in the most highly compensated individuals or their total compensation, the Subrecipient's report shall include a statement certifying this.

(1) The Subrecipient in its preceding fiscal year received—

- (a) 80 percent or more of its annual gross revenues in Federal awards; and
- (b) \$25,000,000 or more in annual gross revenues from Federal awards; and

(2) The public does not have access to information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986 [26 USC § 6104].

"Total compensation" means the cash and noncash dollar value earned by the executive during the subrecipient's past fiscal year of the following (for more information see 17 CFR 229.402(c)(2)):

- (i). Salary and bonus.
- (ii). Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R.
- (iii). Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- (iv). Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- (v). Above-market earnings on deferred compensation which are not taxqualified.
- (vi). Other compensation. For example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the value for the executive exceeds \$10,000.

E. Technical Reporting. Subrecipient will include a brief update on cumulative programmatic achievements, including significant deliverables or milestones reached.

### F. Second-Tier Subawards issued under this Subaward Agreement

- (1) *Demographic information and contacts.* Subrecipient will append a completed Attachment 3b form with information for any new second-tier subrecipient(s), once, in the quarter after the subaward is issued.
- (2) *Responsibilities for Informing Second-Tier Sub-recipients.* If Subrecipient issues second-tier subawards under this agreement, Subrecipient agrees to separately identify to each second-tier subrecipient, and document at the time of sub-award and at the time of disbursement of funds, the

Federal award number, any special CFDA number assigned for ARRA purposes, and amount of ARRA funds. (2 CFR 215.26, 45 CFR 74.26, and 45 CFR 92.26)

- (3) *Quarterly Disclosure.* Subrecipient will include detailed information on any second-tier subawards (subcontracts or sub-grants) issued under this subaward whose cumulative cost is greater than \$25,000. This report will include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282) and will include information required under Quarterly ARRA Report items A - E.

## Attachment 5 Statement of Work and Budget

### Scope of Work University of Alaska Fairbanks

The University of Alaska Fairbanks subaward consists of two integrated research foci lead by Dr. Nancy Bigelow and Dr. Claire Alix and involving one graduate and two undergraduate students, and a related research program led by post-doctoral researcher Josh Wisniewski. Bigelow's research focuses on the natural environment of Cape Espenberg since the formation of the spit, with particular emphasis on the period between AD 800 and AD 1400. Alix's research focuses on human use of wood and woody plants at the site and tree-ring analysis on driftwood and archaeological wood for dating and potential climate correlation. Wisniewski cultural anthropology research investigates local knowledge construction through an ethnographically grounded study of Inupiaq and Yup'ik hunters' ways of knowing and hunting sea mammals.

In specific, Bigelow's research involves sampling of the frozen peat and pond sediments in swales adjacent to the sites, as well as detailed mapping, describing, and sampling of exposed peats on the southern shore of Cape Espenberg where a long and complete peat record is preserved. Approximately 30 to 50 samples will be analyzed for plant macrofossils and about 75 samples will be analyzed for pollen. About 50 samples from the pond cores will be analyzed for C and N isotopes, and diatoms while *Chironomid* head capsules will be picked from about 40 samples for O and H isotope analysis. One undergraduate student (supervised by Bigelow) will help in the field work and in laboratory analyses.

Alix's research involves detailed microscopic analysis of wood artifacts and remains combined with an analysis of wood-working techniques for the western Thule culture. Tree-ring research on modern driftwood logs and archaeological structural house timbers will also be conducted. The number of objects to be identified will depend on what is found during excavation of the archaeological structures and associated middens. However, considering the condition of organic preservation at the site, we expect a relatively large amount of wood remains to be found and plan to microscopically identify a minimum of 100 significant objects and a representative sample of worked wood artifacts. A minimum of 50 logs from local driftwood deposits will also be processed and measured to build local floating chronologies to be crossdated with available master chronologies of interior Alaska. All structural house timbers will be assessed for tree-ring dating suitability and adequate samples will be prepared, measured, analyzed and crossdated. The number of tree-ring samples to be processed will of course depend on extent of excavation and state of preservation.

The work undertaken by the graduate student (supervised by Alix and Bigelow) will involve processing representative soil samples for plant remains (charcoal and plant macrofossils) from living floors of excavated houses and middens. Standard sample size of a minimum of 300 charcoal fragments and 300 macrofossils per level and/or occupation will be microscopically identified.

Wisniewski's research involves ethnographic fieldwork carried out over two years in Inupiaq and Yup'ik communities of Seward Peninsula to examine the ways indigenous hunters integrate scientific knowledge into their decision making processes, the role of life histories toward shaping an individual's knowledge through time, local factors leading to annual variability in harvest levels and specific regional and community hunting practices. Wisniewski will conduct interviews and community meetings during several field trips to communities over the span of two years. He will complement this information with archival research and literature review.

## Work Schedule

Date	Planned Work	Personnel
Spring and Summer 2009	Fieldwork: Sample peat and pond sediment localities that were identified in August, 2007	Bigelow and undergraduate student
	Fieldwork preparation. Mapping, describing and sampling driftwood deposits at the Cape.	Alix
Autumn 2009-Spring 2010	Analyze collected peat and pond sediments for pollen, microfossils, chironomics, conduct isotopic analyses. Begin dating the sediments	Bigelow and undergraduate student
	Travel to Emmonak, Shishmaref and participate in and document marine mammals hunting activities	Wisniewski
Summer 2010	Complete peat and pond sediment collection.	Bigelow and undergraduate student
	Excavation of house structures. Sampling structural timbers, charcoal and microfossil remains on-site	Alix and Master's student
	Transcribe, translate and analyze 2010 recorded data, conduct archival and literature research.	Wisniewski
Autumn 2010-Spring 2011	Continue peat and pond sediment analyses	Bigelow and undergraduate student
	Wood artifact analysis, processing and analysis of structural timber. Crossdating with local and regional chronologies. Preparing, measuring and analyzing/crossdating driftwood samples.	Alix and undergraduate student
	Processing and analysis of charcoal and microfossil samples.	Master's student
	Transcribe, translate and analyse 2010 field data. Archival and literature review, travel to villages and document hunting and conduct interviews	Wisniewski
Summer 2011	Complete peat and pond sediment analyses; begin write up of results	Bigelow
	Excavation of house structures. Sampling structural timbers, charcoal and microfossil remains on-site	Alix and Master's student
	Participate in meetings, analyze data, complete archival research	Wisniewski
Autumn 2011 - Spring 2012	Complete write up of results	Bigelow
	Wood artifact analysis, processing and analysis of structural timber. Crossdating with local and regional chronologies. Complete overall analysis and report write-up	Alix
	Processing and analysis of charcoal and microfossil samples and complete general analysis. MA thesis write-up	Master's student
	Complete write up of results	Wisniewski

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PROJECT TITLE: IPY: Human Response to Climate Change at Cape Espenberg AD 990 to AD 1400  
 PL: Digelow (VAF subaward) or Witkowski at Center for Global and Planetary Change  
 START: 4/1/2009  
 END: 3/31/2012

DEPT #:

BANNER #:

Use aster to amend the appropriate F&A case on line 100.

ACCT	SALARIES AND WAGES	Year 1		Year 2		Year 3		Total Project			
		Hours		Hours		Hours					
1000	Other Personnel										
	Total number of hours										
957.00	Digelow	XR - Exempt Staff	\$21.07 20.0%	1.00	\$217.5	\$5,578	201.0	\$4,341	348.0	\$9,489	\$25,387
1044.00	Alk	NT - Temp Staff	\$23.67 0.0%	1.00	\$217.5	\$5,510	475.0	\$14,524	540.0	\$10,500	\$31,514
2090.00	Witkowski	FN - Faculty (Non-Union, <12 mo.)	\$23.00 1.8%	1.00	2080.0	\$48,701	0.0	\$0	0.0	\$0	\$48,701
2000.00	Witkowski	FD - Faculty (UNAC)	\$23.00 1.5%	1.045	0.0	\$0	2080.0	\$50,740	0.0	\$0	\$50,740
1000	Student Employees										
	Proportion of Students										
1	SN - Undergrad, academic		\$10.00 0.0%	1.03	391.5	\$3,915	391.5	\$4,032	0.0	\$0	\$7,947
1	SN - Undergrad, academic		\$10.00 0.0%	1.03	0.0	\$0	587.3	\$6,049	391.5	\$4,153	\$10,202
1	ST - Undergrad, summer		\$10.00 2.0%	1.03	87.0	\$870	87.0	\$895	0.0	\$0	\$1,765
1	GN - Graduate, academic		\$20.11 2.0%	1.03	0.0	\$0	760.0	\$15,742	760.0	\$18,214	\$31,956
1	GT - Graduate, summer		\$20.11 0.0%	1.03	0.0	\$0	174.0	\$3,604	174.0	\$3,712	\$7,316
	Total Other Personnel				\$65,474	\$105,931		\$44,427		\$215,832	
	TOTAL SALARIES AND WAGES				\$65,474	\$105,931		\$44,427		\$215,832	
1800	FRINGE BENEFITS										
	Other Personnel										
	Digelow	XR - Exempt Staff	46.7%		\$2,716	\$5,036	\$4,011				\$11,763
	Alk	NT - Temp Staff	7.9%		\$604	\$1,147	\$840				\$2,591
	Witkowski	FN - Faculty (Non-Union, <12 mo.)	32.6%		\$16,877	\$0	\$0				\$16,877
	Witkowski	FD - Faculty (UNAC)	32.1%		\$0	\$15,789	\$0				\$15,789
	Student Employees										
	SN - Undergrad, academic		0.0%		\$0	\$0	\$0				\$0
	SN - Undergrad, academic		0.0%		\$0	\$0	\$0				\$0
	ST - Undergrad, summer		2.9%		\$48	\$71	\$0				\$119
	GN - Graduate, academic		0.0%		\$0	\$0	\$0				\$0
	GT - Graduate, summer		7.0%		\$0	\$96	\$26				\$122
	Select E-Class		0.0%		\$0	\$0	\$0				\$0
	Great Student Health Insurance (From monthly)				\$0	\$1,300	\$1,300				\$2,600
	Total Other Personnel				\$19,160	\$24,188	\$7,134				\$50,482
	TOTAL FRINGE BENEFITS				\$19,160	\$24,188	\$7,134				\$50,482
	TOTAL SALARIES AND BENEFITS				\$84,634	\$130,119	\$51,561				\$266,314
2000	TRAVEL										
	I. Domestic Travel										
	Airfare	FAI to Kotzebue	3 4 2	660	1.1	\$1,350	\$2,850	\$1,575			\$6,345
	Meals	FAI to Kotzebue	6 8 4	44	1	\$264	\$362	\$173			\$799
	Lodging	FAI to Kotzebue	6 8 4	141	1	\$446	\$1,128	\$564			\$2,538
	Airfare	Home to Anch to Nome	3 3	1000	1.1	\$3,100	\$3,300	\$0			\$6,400
	Airfare	Nome to Sitka/Unal	3 3	380	1.1	\$1,140	\$1,294	\$0			\$2,434
	Airfare	Home to FAI	1	420	1.1	\$0	\$528	\$0			\$528
	Meals	Nome, Sitka/Unal, FAI to professional meetings 3 people 1 meeting	31 31	44		\$1,264	\$1,264	\$0			\$2,528
	Airfare		3 0	1000	1.1	\$0	\$3,300	\$0			\$3,300
	Meals	Professional meetings	12 0	55	1	\$0	\$660	\$0			\$660
	Lodging	Professional meetings	12	120	1	\$0	\$1,440	\$0			\$1,440
	Total Domestic Travel					\$8,264	\$16,136	\$2,317			\$27,717
	TOTAL TRAVEL					\$8,264	\$16,136	\$2,317			\$27,717
3000	CONTRACTUAL SERVICES	Description									

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Journal Publication Page Charges - 3052	charge per page for publication (Wisniewski)	\$200	\$200	\$200	\$600
Lab Analysis/Services (Lab Testing) - 3052	Diatoms, 50 samples @ \$200/sample	\$10,000	\$0	\$0	\$10,000
Lab Analysis/Services (Lab Testing) - 3052	Radioisotope dates	\$3,250	\$0	\$0	\$3,250
Lab Analysis/Services (Lab Testing) - 3052	210 Pb date suite (15 dates @ \$70/date)	\$1,050	\$0	\$0	\$1,050
Lab Analysis/Services (Lab Testing) - 3052	Isotope (C and H) 40 samples @ \$20/sample	\$800	\$0	\$0	\$800
Lab Analysis/Services (Lab Testing) - 3052	Isotope (C&N) 50 samples @ \$16/sample	\$800	\$0	\$0	\$800
Communication (Photocopies, Postage, Toll Charges) - 3331, 3444, 3444	Communication charges	\$450	\$450	\$450	\$1,350
Honors, short-term (Auto, Aircraft, and Boat) - 3112	Pharmaceutical major rental (2 weeks/year, \$500/week)	\$1,000	\$1,000	\$0	\$2,000
Consultants - 3005	Elders (10 individuals @ \$50.00 for 4 sessions)	\$2,000	\$1,000	\$0	\$3,000
Consultants - 3005	Transcription and translation	\$1,300	\$1,000	\$0	\$2,300
	Total Other Contractual Svcs	\$21,050	\$3,450	\$850	\$25,350
	<b>TOTAL CONTRACTUAL SERVICES</b>	<b>\$21,050</b>	<b>\$3,450</b>	<b>\$850</b>	<b>\$25,350</b>
<b>4000</b>	<b>COMMODITIES</b>				
	Description				
Supplies (Lab) - 4012	Alex: Lab supplies (see ring and ID)	\$300	\$0	\$0	\$300
Supplies (Field) - 4075	Alex: Field supplies (sampling)	\$500	\$0	\$0	\$500
Supplies (Lab) - 4012	Bigelow: Pollen expendable 75, \$5/sample	\$375	\$0	\$0	\$375
Supplies (Lab) - 4012	Bigelow: Sampling supplies	\$200	\$0	\$0	\$200
Supplies (Lab) - 4012	Bigelow: Microbial expendable 50, \$5 sample	\$250	\$0	\$0	\$250
Supplies (Lab) - 4012	Bigelow: Isotope and midget expendable \$6 sample	\$200	\$0	\$0	\$200
Supplies (Field) - 4075	Bigelow: Auger head purchases	\$500	\$0	\$0	\$500
Supplies (Field) - 4075	Bigelow: Poly carbonate tubing and shipping	\$500	\$0	\$0	\$500
Supplies (Field) - 4075	Bigelow: surface sediment sample (Aquatic research) and shipping	\$700	\$0	\$0	\$700
Supplies (Field) - 4075	Bigelow: D-tubes (25 @ \$25 + \$30 shipping)	\$200	\$0	\$0	\$200
Supplies (Field) - 4075	Bigelow: 1 boat @ \$900 (Achilles LT series 7.3") (Boat shop)	\$900	\$0	\$0	\$900
Supplies (Program and Project) - 4015	Wisniewski: research supplies	\$500	\$500	\$0	\$1,000
Supplies (Field) - 4075	Wisniewski: research equipment (projector)	\$1,000	\$0	\$0	\$1,000
	<b>TOTAL COMMODITIES</b>	<b>\$6,125</b>	<b>\$500</b>	<b>\$0</b>	<b>\$6,625</b>
	<b>A. NTDC (Total costs subject to F&amp;A)</b>	<b>\$170,381</b>	<b>\$190,450</b>	<b>\$54,514</b>	<b>\$325,350</b>
	<b>B. Facilities and Administration (F&amp;A)</b>				
	Sponsored Research 45.1%	\$54,292	\$67,886	\$24,586	\$146,733
<b>6000</b>	<b>STUDENT SERVICES</b>				
	Number of Students Tuition	S. Paul Clerk (Fall 2008)	# credits	Total	
	1 In-State Tuition	\$301	16	\$5,416	\$0
	0 Out-Of-State Tuition	\$515	0	\$0	\$0
	Scholarship(s) or Fellowship(s)				\$0
	<b>TOTAL STUDENT SERVICES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$12,865</b>
	<b>EQUIPMENT</b>				
	Microscope	1			\$23,200
	<b>TOTAL EQUIPMENT</b>	<b>\$23,200</b>	<b>\$0</b>	<b>\$0</b>	<b>\$23,200</b>
	<b>C. Total Costs Exempt from F&amp;A</b>	<b>\$23,200</b>	<b>\$6,210</b>	<b>\$6,645</b>	<b>\$36,055</b>
	<b>D. Total Direct Costs (A+C)</b>	<b>\$143,281</b>	<b>\$156,660</b>	<b>\$61,159</b>	<b>\$361,405</b>
	<b>E. Total Sponsor Request (B+D)</b>	<b>\$197,673</b>	<b>\$224,620</b>	<b>\$86,746</b>	<b>\$508,130</b>

**SUMMARY  
PROPCAL BUDGET**

**YEAR 1**

ORGANIZATION University of Alaska Fairbanks				FOR NSF USE ONLY	
				PROPOSAL NO.	DURATION (MONTHS)
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR				PROPOSED	GRANTED
AWARD NO.					
A. SENIOR PERSONNEL: PI/PO, Co.-PIs, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)				NSF Funded Person-mos.	
	CAL	ACAD	SUMR	Funds Requested by Proposer	Check
1.	0.0	0.0	0.0	0	
2.	0.0	0.0	0.0	0	
3.	0.0	0.0	0.0	0	
4.	0.0	0.0	0.0	0	
5.	0.0	0.0	0.0	0	
E	0.0	0.0	0.0	0	
7. ( 0 ) TOTAL SENIOR PERSONNEL (1-6)	0.0	0.0	0.0	0	0
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)					
1. ( 0 ) POST DOCTORAL ASSOCIATES	0.0	0.0	0.0	0	
2. ( 0 ) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)				0	
3. ( 0 ) GRADUATE STUDENTS				0	
4. ( 0 ) UNDERGRADUATE STUDENTS				0	
5. ( 0 ) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)				0	
6. ( 0 ) OTHER				0	
TOTAL OTHER PERSONNEL				65,474	
TOTAL SALARIES AND WAGES (A + B)				65,474	65,474
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)				19,168	
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)				84,642	84,642
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)					
TOTAL EQUIPMENT				0	
E. TRAVEL 1. DOMESTIC (INCL. CANADA AND U.S. POSSESSIONS)				8,564	
2. FOREIGN				0	
F. PARTICIPANT SUPPORT COSTS					
1. STIPENDS	\$0				
2. TRAVEL	\$0				
3. SUBSISTENCE	\$0				
4. OTHER	\$0				
TOTAL F				0	
G. OTHER DIRECT COSTS					
1. MATERIALS AND SUPPLIES				6,125	
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION				200	
3. CONSULTANT SERVICES				10,000	
4. COMPUTER SERVICES					
5. SUBAWARDS				0	
6. OTHER				10,850	
TOTAL OTHER DIRECT COSTS				27,175	27,175
H. TOTAL DIRECT COSTS (A THROUGH G)				143,581	120,381
I. INDIRECT COSTS (IF & A) (SPECIFY RATE AND BASE)					
Modified Total Direct Costs					
TOTAL INDIRECT COSTS (IF & A) Base Amount: \$120,381				54,292	
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)				197,873	
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECTS SEE GPG II D.7.)					
L. AMOUNT OF THIS REQUEST (J) OR (J) MINUS (K)				197,873	
M. COST SHARING: PROPOSED LEVEL %					
PI/PO TYPED NAME & SIGNATURE*		DATE		FOR NSF USE ONLY	
Nancy H. Bigelow		4/22/09		INDIRECT COST RATE VERIFICATION	
ORC. REP. TYPED NAME & SIGNATURE*		DATE		Date Checked	Date of Rate Sheet
Andrew Parkasan - Gray		04/22/09			

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\*SIGNATURES REQUIRED ONLY FOR REVISED BUDGET (GPG III L)

**SUMMARY  
PROPOSAL BUDGET**

**YEAR 2**

ORGANIZATION				FOR NSF USE ONLY				
University of Alaska Fairbanks				DURATION (MONTHS)				
				PROPOSED	Granted			
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR				AWARD NO.				
A. SENIOR PERSONNEL: P/PI, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)				NSF Funded Person-mos.			Funds Requested by	Check
				CAL	ACAD	SI/IR	Proposer	
1.				0.0	0.0	0.0	0	
2.				0.0	0.0	0.0	0	
3.				0.0	0.0	0.0	0	
4.				0.0	0.0	0.0	0	
5.				0.0	0.0	0.0	0	
6.				0.0	0.0	0.0	0	
7.	( 0 )	TOTAL SENIOR PERSONNEL (1-6)		0.0	0.0	0.0	0	0
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)								
1.	( 0 )	POST DOCTORAL ASSOCIATES		0.0	0.0	0.0	0	
2.	( 0 )	OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)					0	
3.	( 0 )	GRADUATE STUDENTS					0	
4.	( 0 )	UNDERGRADUATE STUDENTS					0	
5.	( 0 )	SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)					0	
6.	( 0 )	OTHER					0	
TOTAL OTHER PERSONNEL							105,931	
TOTAL SALARIES AND WAGES (A + B)							105,931	105,931
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)							24,188	
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)							130,119	130,119
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)								
TOTAL EQUIPMENT							0	
E. TRAVEL 1. DOMESTIC (INCL. CANADA AND U.S. POSSESSIONS)							16,186	
2. FOREIGN							0	
F. PARTICIPANT SUPPORT COSTS								
1.		STIPENDS	\$0					
2.		TRAVEL	\$0					
3.		SUBSISTENCE	\$0					
4.		OTHER	\$0					
							0	
G. OTHER DIRECT COSTS								
1. MATERIALS AND SUPPLIES							500	
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION							200	
3. CONSULTANT SERVICES							0	
4. COMPUTER SERVICES								
5. SUBAWARDS							0	
6. OTHER							9,560	
TOTAL OTHER DIRECT COSTS							10,360	10,360
H. TOTAL DIRECT COSTS (A THROUGH G)							156,665	156,665
I. INDIRECT COSTS (F&A) (SPECIFY RATE AND BASE)								
Modified Total Direct Costs								
TOTAL INDIRECT COSTS (F&A)				Base Amount: \$150,455			67,855	
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)							224,520	
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECTS SEE GPG II D.7.J)								
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)							224,520	
M. COST SHARING: PROPOSED LEVEL 5				AGREED LEVEL IF DIFFERENT 5				
P/PI TYPED NAME & SIGNATURE*				DATE		FOR NSF USE ONLY		
Dancy H. Bigelow Dancy H. Bigelow				4/22/09		INDIRECT COST RATE VERIFICATION		
ORC REP. TYPED NAME & SIGNATURE*				DATE		date checked		
Andrew Parkinson - Gray				04/22/09		date of rate sheet		
						initials ORC		

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\*SIGNATURES REQUIRED ONLY FOR REVISED BUDGET (GPG III.C)

**SUMMARY  
PROPOSAL BUDGET**

**YEAR 3**

ORGANIZATION <b>University of Alaska Fairbanks</b>				PROPOSAL NO.		FOR NSF USE ONLY		
				DURATION (MONTHS)		Proposed	Granted	
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR 0				AWARD NO.				
A. SENIOR PERSONNEL: PVPD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A-7 show number in brackets)				NSF Funded Person-MOS.		Funds Requested by		
				CAL	ACAD	SUMR	Proposer	Check
1.				0.0	0.0	0.0	0	
2.				0.0	0.0	0.0	0	
3.				0.0	0.0	0.0	0	
4.				0.0	0.0	0.0	0	
5.				0.0	0.0	0.0	0	
6.				0.0	0.0	0.0	0	
7. ( 0 )	TOTAL SENIOR PERSONNEL (1-6)			0.0	0.0	0.0	0	0
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)								
1. ( 0 )	POST DOCTORAL ASSOCIATES			0.0	0.0	0.0	0	
2. ( 0 )	OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)						0	
3. ( 0 )	GRADUATE STUDENTS						0	
4. ( 0 )	UNDERGRADUATE STUDENTS						0	
5. ( 0 )	SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)						0	
6. ( 0 )	OTHER						0	
TOTAL OTHER PERSONNEL							44,427	
TOTAL SALARIES AND WAGES (A + B)							44,427	44,427
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)								
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)							7,124	
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)							51,551	51,551
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)								
TOTAL EQUIPMENT							0	
E. TRAVEL 1. DOMESTIC (INCL. CANADA AND U.S. POSSESSIONS)								
							2,313	
2. FOREIGN								
							0	
F. PARTICIPANT SUPPORT COSTS								
1. STIPENDS		\$0						
2. TRAVEL		\$0						
3. SUBSISTENCE		\$0						
4. OTHER		\$0						
							0	
G. OTHER DIRECT COSTS								
1. MATERIALS AND SUPPLIES							0	
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION							200	
3. CONSULTANT SERVICES							0	
4. COMPUTER SERVICES							0	
5. SUBAWARDS							0	
6. OTHER							7,095	
TOTAL OTHER DIRECT COSTS							7,295	7,295
H. TOTAL DIRECT COSTS (A THROUGH G)								
							61,159	61,159
I. INDIRECT COSTS (F&A) (SPECIFY RATE AND BASE)								
TOTAL INDIRECT COSTS (F&A)								
Base Amount: \$54,514							24,586	
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)								
							85,745	
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECTS SEE CPG II.D.7.1)								
L. AMOUNT OF THIS REQUEST (J) OR (J) MINUS (K)								
							85,745	
M. COST SHARING: PROPOSED LEVEL 5				AGREED LEVEL IF DIFFERENT 5				
PVPD TYPED NAME & SIGNATURE*				DATE		FOR NSF USE ONLY		
Nancy H. Bigelow Nancy H. Bigelow				4/22/09		INDIRECT COST RATE VERIFICATION		
ORG. REP. TYPED NAME & SIGNATURE*				DATE		Date Checked Date of Rate Sheet Initials Org.		
Andrew Parkerson-Gray				04/22/09				

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\*SIGNATURES REQUIRED ONLY FOR REVISED BUDGET (CPG II.C)

**SUMMARY  
PROPOSAL BUDGET**

**SUMMARY**

ORGANIZATION				FOR NSF USE ONLY		
University of Alaska Fairbanks				PROPOSAL NO.	DURATION (MONTHS)	
					Proposed	Granted
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR				AWARD NO.		
0						
A. SENIOR PERSONNEL: P/PI, Co-PI's, Faculty and Other Senior Associates (List each separately with title. A 7 show number in brackets)				NSF Funded Person-Mos.		
				CAL	ACAD	SUMR
				Funds Requested by Proposer		
				Check		
1.			0.0	0.0	0.0	0
2.			0.0	0.0	0.0	0
3.			0.0	0.0	0.0	0
4.			0.0	0.0	0.0	0
5.			0.0	0.0	0.0	0
6.			0.0	0.0	0.0	0
7.	( 0 )	TOTAL SENIOR PERSONNEL (1-6)	0.0	0.0	0.0	0
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)						
1.	( 0 )	POST DOCTORAL ASSOCIATES	0.0	0.0	0.0	0
2.	( 0 )	OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)				0
3.	( 0 )	GRADUATE STUDENTS				0
4.	( 0 )	UNDERGRADUATE STUDENTS				0
5.	( 0 )	SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)				0
6.	( 0 )	OTHER				0
TOTAL OTHER PERSONNEL						0
TOTAL SALARIES AND WAGES (A + B)						215,832
						215,832
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)						50,480
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)						266,312
						266,312
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)						
TOTAL EQUIPMENT						0
E. TRAVEL 1. DOMESTIC (INCL. CANADA AND U.S. POSSESSIONS)						27,063
2. FOREIGN						0
F. PARTICIPANT SUPPORT COSTS						
1.		STIPENDS	\$0			
2.		TRAVEL	\$0			
3.		SUBSISTENCE	\$0			
4.		OTHER	\$0			
						0
G. OTHER DIRECT COSTS						
1.		MATERIALS AND SUPPLIES				6,625
2.		PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION				600
3.		CONSULTANT SERVICES				10,000
4.		COMPUTER SERVICES				0
5.		SUBAWARDS				0
6.		OTHER				27,605
TOTAL OTHER DIRECT COSTS						44,830
H. TOTAL DIRECT COSTS (A THROUGH G)						361,405
I. INDIRECT COSTS (F&A) (SPECIFY RATE AND BASE)						
TOTAL INDIRECT COSTS (F&A) Base Amount: \$325,350						146,733
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)						508,138
						508,138
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECTS SEE GPG II.D.7.J)						0
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)						508,138
M. COST SHARING: PROPOSED LEVEL 5				0	AGREED LEVEL IF DIFFERENT 5	
PI/PI D TYPED NAME & SIGNATURE*				DATE	FOR NSF USE ONLY	
NANCY H. BIGLOW Nancy H. Biglow				4/22/09	INDIRECT COST RATE VERIFICATION	
ORG. REP. TYPED NAME & SIGNATURE*				DATE	Date Checked	Date of Rate Sheet
ANDREW PARKERSON-GRAY Andrew Parkerson-Gray				04/22/09		Initial-ORC

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\*SIGNATURES REQUIRED ONLY FOR REVISED BUDGET (GPG II.G)

U Colorado Sub award to UAF

Betty,

Here's the abstract (my synopsis) of the work on the Bigelow award:

Focus on 1) natural environment of Cape Espenberg since the formation of the spit, with particular emphasis on the period between AD800-1400; and 2) human use of wood and woody plants at the site and tree-ring analysis on driftwood and archaeological wood for dating and potential climate correlation; and 3) investigation of local knowledge construction through an ethnographically grounded study of Inupiaq and Yup'ik hunters' way of knowing and hunting sea mammals.

Looks like it's funding two separate proposals, S00010230 (\$216,211) submitted Sept 2007, and S00009436 (\$288,007) submitted March 2007.

Anything else??

--

G. Maggie Griscavage, CRA  
Director  
Office of Grants & Contracts Administration  
University of Alaska Fairbanks  
907-474-7301  
907-687-3513 cell  
NOTE: EMAIL CHANGED TO: [gmgiscavage@alaska.edu](mailto:gmgiscavage@alaska.edu)

Project Summary: IPY: Human Response to Climate Change at Cape Espenberg AD 800-1400

Focus on:

- 1) Natural environment of Cape Espenberg since the formation of the spit, with particular emphasis on the period between AD800-1400.
- 2) Human use of wood and woody plants at the site and tree-ring analysis on driftwood and archaeological wood for dating and potential climate correlation
- 3) Investigation of local knowledge construction through an ethnographically grounded study of Inupiaq and Yup'ik hunters' way of knowing and hunting sea mammals.

## University of Alaska

Subject of RPL: Collaborative: How the Timing of Summer Precipitation Affects the Responses of Boreal Forest to Climate Change	ADN/RPL #: 45-0-1107
Amount Requested: \$797,130	Appropriation Authority: Sec. 4, Ch. 17, SLA 2009, Page 9, Lines 12-16
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 14.40.40

### **PURPOSE**

The requested federal stimulus receipt authority will allow the University of Alaska Fairbanks to accept a National Science Foundation award for a project entitled: “Collaborative: How the Timing of Summer Precipitation Affects the Responses of Boreal Forest to Climate Change”.

This award is federally funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated April, 2009.

### **PREVIOUS LEGISLATIVE CONSIDERATION**

This project has not previously been considered. This is a new multi-year federal award that is effective July 1, 2009 and expires June 30, 2012. The award was issued on June 25, 2009 and has not been requested as part of the University’s budget.

### **TIMING ISSUES**

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority is not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009. Proposal ARC-0902169 was submitted for this project, but was not approved until the additional National Science Foundation funding thru ARRA became available.

### **BUDGETARY ISSUES**

This project is directly aligned with the University of Alaska’s long term plans and mission: “The University of Alaska Fairbanks, the nation’s northernmost Land, Sea and Space Grant University and international research center, advances and disseminates knowledge through teaching, research and public service with an emphasis on Alaska,

the circumpolar North and their diverse peoples. UAF – America’s Arctic University – promotes academic excellence, student success and lifelong learning.”

No State General Funds will be used, nor is any match required. The federal stimulus funds will be expended from FY10 thru FY12. An indirect cost is being charged to the award to cover the administrative cost of the program.

The total amount of the award is \$797,130. This request adds an additional \$797,130 to the University’s existing federal economic stimulus authority for competitive, discretionary, and incentive grants capital project appropriation contained within Sec. 4, Ch. 17, SLA 2009.

A copy of the agreement for this Award No. ARC-092169 is attached, along with an executive summary and a budget document detailing expenditures for the life of the grant.

Agency Contact: Michelle Rizk, (907) 450-8187

OMB Approved: \_\_\_\_\_ Date: \_\_\_\_\_

**Subject:** Award Id : 0902169, PI: Mann  
**From:** jhfrench@nsf.gov  
**Date:** 25 Jun 2009 15:23:58 -0400  
**To:** fygrcon@uaf.edu  
**CC:** dgaawd@nsf.gov

Award Date: June 25, 2009  
Award No. ARC-0902169  
Proposal No. ARC-0902169

Ms. Maggie Griscavage  
Director, Grant and Contract Services  
University of Alaska Fairbanks  
109 ASC  
P.O. Box 757880  
Fairbanks, AK 99775-7880

Dear Ms. Griscavage:

The National Science Foundation hereby awards a grant of \$797,130 to University of Alaska Fairbanks for support of the project described in the proposal referenced above.

This project, entitled "Collaborative: How the Timing of Summer Precipitation Affects the Responses of Boreal Forest to Climate Change," is under the direction of Daniel H. Mann, Paul A. Duffy, T. Scott Rupp, in collaboration with the following proposals

Proposal No:	PI Name/Institution
-----	
0902088	Andrea H. Lloyd, Middlebury
College	
0902180	Elise . Pendall, University of
Wyoming	

This award is effective July 1 , 2009 and expires June 30, 2012.

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:  
[http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=arra0509](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509)

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is also subject to Research Terms and Conditions (RTC, dated July 2008) and the NSF RTC Agency-Specific Requirements (dated January 2009) are available at <http://www.nsf.gov/awards/managing/rtc.jsp>. This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots. and the following terms and conditions:

The provisions of NSF 08-567, "Changing Seasonality in the Arctic System"are applicable to this award.

The Director of the Office of Polar Programs has established Guidelines and Award Conditions for OPP Scientific Data effective in FY-99. The full document is available on the OPP webpages at: (<http://www.nsf.gov/pubs/1999/opp991/opp991.txt>).

Principal Investigators of OPP awards should make their data available to all reasonable requests. Where applicable, the Principal Investigators should submit the data collected to designated data centers as soon as possible, but no later than two (2) years after the data are collected. For continuing observations, data inventories should be submitted periodically if and when there is a significant change in location, type or frequency of such observations.

Principal Investigators of OPP-funded awards are REQUIRED to submit to appropriate electronic data directories, a description of their data (i.e., metadata) resulting from OPP-funded research in the form of a Directory Interchange Format (DIF) entry. Submission of the DIF may be at any time during the tenure of the grant. At the time of submission of the Final Report to NSF, a copy of the DIF must be sent to the cognizant program official in OPP.

For OPP-supported Antarctic projects, DIF submission should be to the Antarctic Master Directory, via the USAP Data Coordination Center (<http://www.usap-data.org/>). For OPP-supported Arctic projects, DIF submission should be to the Arctic System Science Data Coordination Center at <http://arcss.colorado.edu>.

The Foundation authorizes the awardee to enter into the proposed contractual arrangements and to fund such arrangements with award funds up to the amount indicated in the approved budget. Such contractual arrangements should contain appropriate provisions consistent with Articles 8.a.4 and 9 of the NSF Grant General Conditions (GC-1) (dated 6/1/07) or Articles 5 and 40 of the Research Terms and Conditions (dated July 2008) and any special conditions included in this award.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

Please view the project reporting requirements for this award at the following web address [<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=0902169>].

The cognizant NSF program official for this grant is Neil R. Swanberg, (703) 292-8029.

The cognizant NSF grants official contact is Maria Valerio, (703) 292-4832.

Sincerely,

Jamie H. French  
Grants and Agreements Officer

CFDA No. 47.082  
[fygrcon@uaf.edu](mailto:fygrcon@uaf.edu)

ARC-0902169  
000

## SUMMARY PROPOSAL BUDGET

Person MOS	cal	acad	sumr	Funds granted By NSF
A. (2.00) Total Senior personnel	7.50	0.00	0.00	\$56,806
B. Other Personnel				
1. (0.00) Post Doctoral associates	0.00	0.00	0.00	\$0
2. (11.00) Other professionals	19.00	0.00	0.00	\$104,415
3. (6.00) Graduate students				\$137,808
4. (0.00) Secretarial-clerical				\$0
5. (0.00) Undergraduate students				\$0
6. (0.00) Other				\$0
Total salaries and wages (A+B)				\$299,029
C. Fringe benefits (if charged as direct cost)				\$83,789
Total salaries wages and fringes (A+B+C)				\$382,818
D. Total permanent equipment				\$0
E. Travel				
1. Domestic				\$15,384
2. Foreign				\$0
F. Total participant support costs				\$0
G. Other direct costs				
1. Materials and supplies				\$10,000
2. Publication costs/page charges				\$6,000
3. Consultant services				\$0
4. Computer (ADPE) services				\$0
5. Subcontracts				\$120,000
6. Other				\$56,955
Total other direct costs				\$192,955
H. Total direct costs (A through G)				\$591,157
I. Total indirect costs				\$205,973
J. Total direct and indirect costs (H+I)				\$797,130
K. Residual funds / Small business fee				
1. Residual funds (if for further support of current projects AAG I.D.2 and I.D.3)				\$0
2. Small business fee				\$0
L. Amount of this request (J) or (J-K1+K2)				\$797,130
M. Cost sharing				\$0

# Changing Seasonality in the Arctic System (CSAS)

Arctic System Science Program

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## Program Solicitation

NSF 08-567

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National Science Foundation

Office of Polar Programs  
Division of Arctic Sciences

**Full Proposal Deadline(s)** (due by 5 p.m. proposer's local time):

October 10, 2008

## SUMMARY OF PROGRAM REQUIREMENTS

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### General Information

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**Program Title:**

Changing Seasonality in the Arctic System (CSAS)  
Arctic System Science Program

**Synopsis of Program:**

This solicitation is for research aimed at understanding changing seasonality in the arctic system. There now exists abundant evidence that pervasive changes are underway in the patterns of seasonality in the Arctic. The timing and dynamics of key events such as spring melt and fall freeze-up are shifting in response to a changing arctic climate, impacting the interconnected physical, biological, and human components and processes of the arctic system. Interdisciplinary proposals are sought that employ field studies, retrospective investigation, modeling, or synthesis to explore how changes in succession (here, the sequence, nature, and timing of critical seasonal events, to include but not be limited to ecological succession) affect the linkages between, and feedbacks among, components and processes of the arctic system, thus altering the characteristics and functioning of the system as a whole.

**Cognizant Program Officer(s):**

- Neil R Swanberg, telephone: (703) 292-8029, email: nswanber@nsf.gov

**Applicable Catalog of Federal Domestic Assistance (CFDA) Number(s):**

- 47.078 --- Office of Polar Programs

### Award Information

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**Anticipated Type of Award:** Standard Grant or Continuing Grant

**Estimated Number of Awards:** 10 to 20 - the number of awards depends on the scope and size of highly competitive proposals, available funds and the match of logistics capability to research needs.

## University of Alaska

Subject of RPL: Collaborative Research: Weddell seals as autonomous sensors of the winter oceanography of the Ross Sea	ADN/RPL #: 45-0-1108
Amount Requested: \$196,556	Appropriation Authority: Sec. 4, Ch. 17, SLA 2009, Page 9, Lines 12-16
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 14.40.40

### **PURPOSE**

The requested federal stimulus receipt authority will allow the University of Alaska Anchorage to accept a National Science Foundation award for a project entitled: "Collaborative Research: Weddell seals as autonomous sensors of the winter oceanography of the Ross Sea".

This award is federally funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated April, 2009.

### **PREVIOUS LEGISLATIVE CONSIDERATION**

This project has not previously been considered. This is a new multi-year federal award that is effective July 1, 2009 and expires June 30, 2013. The award was issued on July 6, 2009 and was not requested as part of the University's budget.

### **TIMING ISSUES**

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority is not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009. Proposal No. ANT-0838892 was submitted, but not approved until the additional National Science Foundation funding thru ARRA became available.

### **BUDGETARY ISSUES**

This project is directly aligned with the University of Alaska's long term plans and mission: "The mission of the University of Alaska Anchorage is to discover and disseminate knowledge through teaching, research, engagement, and creative expression."

No State General Funds will be used, nor is any match required. The federal stimulus funds will be expended between FY10-FY13. An indirect cost is being charged to the award to cover the administrative cost of the program.

The total amount of the award is \$196,556. This request adds an additional \$196,556 to the University's existing federal economic stimulus authority for competitive, discretionary, and incentive grants capital project appropriation contained within Sec. 4, Ch. 17, SLA 2009.

A copy of the award letter for Award No. ANT-0838892 is attached, along with the budget document detailing expenditures for the life of the grant.

Agency Contact: Michelle Rizk, (907) 450-8187

OMB Approved: \_\_\_\_\_ Date: \_\_\_\_\_

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# National Science Foundation

**4201 WILSON BOULEVARD, ARLINGTON, VIRGINIA 22230**

Award Date: July 6, 2009  
Award No. ANT-0838892  
Proposal No. ANT-0838892

Dr. Robert G. White  
V.P. for Graduate Studies and Research Council  
University of Alaska, Anchorage  
3211 PROVIDENCE DRIVE  
ANCHORAGE, AK 99508-4614

Dear Dr. White:

The National Science Foundation hereby awards a grant of \$196,556 to University of Alaska, Anchorage for support of the project described in the proposal referenced above as modified by revised budget dated May 4, 2009.

This project, entitled "Collaborative Research: Weddell seals as autonomous sensors of the winter oceanography of the Ross Sea," is under the direction of Jennifer M. Burns, in collaboration with the following proposals

Proposal No:	PI Name/Institution	
0838937	Costa, University of California, Santa Cruz	Daniel P.
0838911	Hofmann, Old Dominion University Research Foundation	Eileen E.

This award is effective July 1 , 2009 and expires June 30, 2013.

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:

[http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=arra0509](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509)

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is also subject to Research Terms and Conditions (RTC, dated July 2008) and NSF RTC Agency Specific Requirements (dated July 2008) available at <http://www.nsf.gov/awards/managing/rtc.jsp>.

This award is subject to the Antarctic Conservation Act, 16 U.S.C. 2401 ("ACA"). Unless authorized by regulation or permit, violation of the ACA may result in civil or criminal fines up to \$11,000, imprisonment for up to one year, and, where appropriate, administrative sanctions up to and including debarment. Please refer to the USAP Participant Guide 2008-2010 Edition for general guidance <http://usap.gov/travelAndDeployment/contentHandler.cfm?id=541>.

The Director of the Office of Polar Programs has established Guidelines and Award Conditions for OPP Scientific Data effective in FY-99. The full document is available on the OPP webpages at: (<http://www.nsf.gov/pubs/1999/opp991/opp991.txt>).

Principal Investigators of OPP awards should make their data available to all reasonable requests. Where applicable, the Principal Investigators should submit the data collected to designated data centers as soon as possible, but no later than two (2) years after the data are collected. For continuing observations, data inventories should be submitted periodically if and when there is a significant change in location, type or frequency of such observations.

Principal Investigators of OPP-funded awards are REQUIRED to submit to appropriate electronic data directories, a description of their data (i.e., metadata) resulting from OPP-funded research in the form of a Directory Interchange Format (DIF) entry. Submission of the DIF may be at any time during the tenure of the grant. At the time of submission of the Final Report to NSF, a copy of the DIF must be sent to the cognizant program official in OPP.

For OPP-supported Antarctic projects, DIF submission should be to the Antarctic Master Directory, via the USAP Data Coordination Center (<http://www.usap-data.org/>). For OPP-supported Arctic projects, DIF submission should be to the Arctic System Science Data Coordination Center at <http://arcss.colorado.edu>.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

Please view the project reporting requirements for this award at the following web address [<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awardID=0838892>].

The cognizant NSF program official for this grant is Roberta L. Marinelli, (703) 292-8033.

The cognizant NSF grants official contact is Andrea R. Kline, (703) 292-4820.

Sincerely,

John C. Robey

Grants and Agreements Officer

CFDA No. 47.082  
anrgwl@uaa.alaska.edu

□

ANT-0838892  
000**SUMMARY PROPOSAL BUDGET**  
**Award No. 0838892**

Person MOS	cal	acad	sumr	Funds granted By NSF
A. (4.00) Total Senior personnel	2.60	0.00	0.00	\$19,376
B. Other Personnel				
1. (0.00) Post Doctoral associates	0.00	0.00	0.00	\$0
2. (0.00) Other professionals	0.00	0.00	0.00	\$0
3. (4.00) Graduate students				\$43,719
4. (0.00) Secretarial-clerical				\$0
5. (2.00) Undergraduate students				\$0
6. (0.00) Other				\$0
Total salaries and wages (A+B)				\$63,095
C. Fringe benefits (if charged as direct cost)				\$11,573
Total salaries wages and fringes (A+B+C)				\$74,668
D. Total permanent equipment				\$0
E. Travel				
1. Domestic				\$12,925
2. Foreign				\$8,925
F. Total participant support costs				\$0
G. Other direct costs				
1. Materials and supplies				\$34,310
2. Publication costs/page charges				\$1,000
3. Consultant services				\$0
4. Computer (ADPE) services				\$0
5. Subcontracts				\$0
6. Other				\$19,906
Total other direct costs				\$55,216
H. Total direct costs (A through G)				\$151,734
I. Total indirect costs				\$44,822
J. Total direct and indirect costs (H+I)				\$196,556
K. Residual funds / Small business fee				
1. Residual funds (if for further support of current projects AAG I.D.2 and I.D.3)				\$0
2. Small business fee				\$0
L. Amount of this request (J) or (J-K1+K2)				\$196,556
M. Cost sharing				\$0

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**National Science Foundation**  
4201 Wilson Boulevard, Arlington, Virginia 22230, USA  
Tel: 703-292-5111, FIRS: 800-877-8339 | TDD: 703-292-5090

[Privacy and Security](#)

Project Summary: Collaborative Research: Weddell seals as autonomous sensors of the winter oceanography of the Ross Sea

Marine mammals have evolved diverse life history patterns to accommodate the extreme fluctuations in the physical and biological environment of the Southern Ocean. These long-lived animals require foraging strategies that are effective despite significant variations in food resources over large spatial and temporal scales. A basic understanding of the foraging behavior and habitat utilization of pelagic predators requires knowledge of this spatial and temporal variation, coupled with information of how predators respond to these changes. In light of ongoing climate change, and the dramatic shifts in the extent and persistence of sea ice in the Ross Sea area, it is critical that we understand how predators select foraging locations, and how changes in the underlying hydrography may influence their behaviors. Recent technological advances, such as the newly developed conductivity, temperature and depth (CTD) tags manufactured by SMRU, have made it possible to simultaneously collect information on predator movement and behavior, and the surrounding oceanography. Such fine scale data have revealed that many predators selectively forage in areas of the ocean where currents and fronts serve to locally concentrate prey resources, and that particular environmental conditions are often required to sustain large populations. CTD tags have proven particularly useful for elucidating important physical correlated of foraging habitats of species that utilize high latitude, remote, and / or ice covered environments, and in regions or times where remote sensing and more traditional ship, AUV, and drifter datasets are extremely limited, such as during Antarctic winters.

This proposed project will carry out three fall deployments of SMRU CTD tags on Weddell seals *Leptonychotes weddelli* in the Ross Sea. Data collected will provide information on winter foraging behavior and habitat utilization as well as water column salinity-temperature profiles. The work will advance on two fronts. First, we will deploy instruments on seals, and track their movements and diving patterns from fall through spring, identify focal foraging areas and characterize those areas with respect to physical variables (temperature, salinity, water mass, bathymetry, ice extent, distance from shoreline and ice edge, etc). We will then use GLMM, information criterion, and other modeling approaches to identify physical and temporal features that influence diving behaviors, and incorporate information on animal physiological status to assess foraging success. The resulting data on animal diving behavior, movement patterns, and hydrography will be used to examine the relationship between habitat selection, specific foraging behaviors and oceanographic and bathymetric features, so that we can develop models that predict how behaviors might change under different climate change scenarios.

The second thrust of this project is to use the CTD tags on the animals to acquire high resolution CTD profiles of the Ross Sea in areas and during times of year that cannot currently be acquired in other ways. These data will be used to model the physical oceanography of this region. Current mathematical models of physical oceanographic processes in the Southern Ocean are directed at better understanding the role that it plays in global climate processes, and the linkages between physical and biological oceanographic processes. However, these efforts are limited by the scarcity of oceanographic data at high latitudes in the winter months. These data are required to better understand key features such as the properties of the ocean mixed layer, the formation of sea ice and Antarctic Bottom Water, and variability in the Antarctic Circumpolar Current (ACC) and associated ocean fronts.

✓ **Intellectual Merit and Broader Impacts:** The information collected will be used to address three fundamental questions: 1) Are the behavior and movement patterns of adult Weddell seals associated with particular oceanographic features (current fronts, gyres, water masses, seafloor features) during the winter months, 2) how might climate change influence these features and impact seal foraging success and population health, and 3) what hydrographic currents and water masses characterize the Ross Sea during the winter months and how are these linked to the broad scale hydrography of the Southern Ocean. If successful, this work will provide a mechanism for greater understanding of by the basic physical processes in the region, and the overwinter biology of a key, apex predator. It will also contribute to two IPY endorsed initiatives: MEOP (Marine Mammals as Explorers of the Ocean Pole to Pole) and CAML (Census of Antarctic Marine Life).

## University of Alaska

Subject of RPL: Collaborative Research: An Ocean Observing System for the Bering Strait, the Pacific Gateway to the Arctic- and integral part of the Arctic Observing Network	ADN/RPL #: 45-0-1109
Amount Requested: \$772,111	Appropriation Authority: Sec. 4, Ch. 17, SLA 2009, Page 9, Lines 12-16
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 14.40.40

### **PURPOSE**

The requested federal stimulus receipt authority will allow the University of Alaska Fairbanks to accept a National Science Foundation award for a project entitled: “Collaborative Research: An Ocean Observing System for the Bering Strait, the Pacific Gateway to the Arctic - an integral part of the Arctic Observing Network”.

This award is federally funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated April, 2009.

### **PREVIOUS LEGISLATIVE CONSIDERATION**

This project has not previously been considered. This is a new multi-year federal award that is effective September 1, 2009 and expires August 31, 2013. The award was issued on July 6, 2009 and has not been requested as part of the University’s budget.

### **TIMING ISSUES**

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority is not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009. Proposal ARC-0856786 was submitted for this project, but was not approved until the additional National Science Foundation funding thru ARRA became available.

### **BUDGETARY ISSUES**

This project is directly aligned with the University of Alaska’s long term plans and mission: “The University of Alaska Fairbanks, the nation’s northernmost Land, Sea and Space Grant University and international research center, advances and disseminates knowledge through teaching, research and public service with an emphasis on Alaska,

the circumpolar North and their diverse peoples. UAF – America’s Arctic University – promotes academic excellence, student success and lifelong learning.”

No State General Funds will be used, nor is any match required. The federal stimulus funds will be expended from FY10 thru FY14. An indirect cost is being charged to the award to cover the administrative cost of the program.

The total amount of the award is \$772,111. This request adds an additional \$772,111 to the University’s existing federal economic stimulus authority for competitive, discretionary, and incentive grants capital project appropriation contained within Sec. 4, Ch. 17, SLA 2009.

A copy of the agreement for this Award No. ARC-0856786 is attached, along with an executive summary and a budget document detailing expenditures for the life of the grant.

Agency Contact: Michelle Rizk, (907) 450-8187

OMB Approved: \_\_\_\_\_ Date: \_\_\_\_\_

**Subject:** Award Id : 0856786, PI: Weingartner  
**From:** jrobey@nsf.gov  
**Date:** 6 Jul 2009 16:24:53 -0400  
**To:** fygrcon@uaf.edu  
**CC:** dgaawd@nsf.gov

Award Date: July 6, 2009  
Award No. ARC-0856786  
Proposal No. ARC-0856786

Ms. Maggie Griscavage  
Director, Grant and Contract Services  
University of Alaska Fairbanks  
109 ASC  
P.O. Box 757880  
Fairbanks, AK 99775-7880

Dear Ms. Griscavage:

The National Science Foundation hereby awards a grant of \$772,111 to University of Alaska Fairbanks for support of the project described in the proposal referenced above.

This project, entitled "Collaborative Research: An Ocean Observing System for the Bering Strait, the Pacific Gateway to the Arctic -- an integral part of the Arctic Observing Network," is under the direction of Thomas J. Weingartner, Terry E. Whitlege, in collaboration with the following proposals

Proposal No:	PI Name/Institution
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0855748	Rebecca . Woodgate, University
of Washington	

This award is effective September 1 , 2009 and expires August 31, 2013.

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:  
[http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=arra0509](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509)

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is also subject to Research Terms and Conditions (RTC, dated July 2008) and the NSF RTC Agency-Specific Requirements (dated January 2009) are available at <http://www.nsf.gov/awards/managing/rtc.jsp>. This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots. and the following terms and conditions:

The provisions of NSF 08-579, "Arctic Observing Network" are applicable to this award.

The Director of the Office of Polar Programs has established Guidelines and Award Conditions for OPP Scientific Data effective in FY-99. The full document is available on the OPP webpages at: (<http://www.nsf.gov/pubs/1999/opp991/opp991.txt>).

Principal Investigators of OPP awards should make their data available to all reasonable requests. Where applicable, the Principal Investigators should submit the data collected to designated data centers as soon as possible, but no later than two (2) years after the data are collected. For continuing observations, data inventories should be submitted periodically if and when there is a significant change in location, type or frequency of such observations.

Principal Investigators of OPP-funded awards are REQUIRED to submit to appropriate electronic data directories, a description of their data (i.e., metadata) resulting from OPP-funded research in the form of a Directory Interchange Format (DIF) entry. Submission of the DIF may be at any time during the tenure of the grant. At the time of submission of the Final Report to NSF, a copy of the DIF must be sent to the cognizant program official in OPP.

For OPP-supported Antarctic projects, DIF submission should be to the Antarctic Master Directory, via the USAP Data Coordination Center (<http://www.usap-data.org/>). For OPP-supported Arctic projects, DIF submission should be to the Arctic System Science Data Coordination Center at <http://arcss.colorado.edu>.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

Please view the project reporting requirements for this award at the following web address [<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=0856786>].

The cognizant NSF program official for this grant is William J. Wiseman, Jr., (703) 292-4750.

The cognizant NSF grants official contact is Maria Valerio, (703) 292-4832.

Sincerely,

John C. Robey  
Grants and Agreements Officer

CFDA No. 47.082  
[fygrcon@uaf.edu](mailto:fygrcon@uaf.edu)

ARC-0856786  
000

## SUMMARY PROPOSAL BUDGET

Person MOS	cal	acad	sumr	Funds granted By NSF
A. (2.00) Total Senior personnel	8.00	0.00	0.00	\$80,208
B. Other Personnel				
1. (0.00) Post Doctoral associates	0.00	0.00	0.00	\$0
2. (12.00) Other professionals	22.00	0.00	0.00	\$168,244
3. (4.00) Graduate students				\$16,020
4. (0.00) Secretarial-clerical				\$0
5. (0.00) Undergraduate students				\$0
6. (0.00) Other				\$0
Total salaries and wages (A+B)				\$264,472
C. Fringe benefits (if charged as direct cost)				\$127,343
Total salaries wages and fringes (A+B+C)				\$391,815
D. Total permanent equipment				\$103,338
E. Travel				
1. Domestic				\$21,890
2. Foreign				\$0
F. Total participant support costs				\$0
G. Other direct costs				
1. Materials and supplies				\$4,400
2. Publication costs/page charges				\$0
3. Consultant services				\$0
4. Computer (ADPE) services				\$0
5. Subcontracts				\$0
6. Other				\$42,800
Total other direct costs				\$47,200
H. Total direct costs (A through G)				\$564,243
I. Total indirect costs				\$207,868
J. Total direct and indirect costs (H+I)				\$772,111
K. Residual funds / Small business fee				
1. Residual funds (if for further support of current projects AAG I.D.2 and I.D.3)				\$0
2. Small business fee				\$0
L. Amount of this request (J) or (J-K1+K2)				\$772,111
M. Cost sharing				\$0

**An Ocean Observing System for the Bering Strait, the Pacific Gateway to the Arctic  
– an integral part of the Arctic Observing Network**

*Rebecca Woodgate, Tom Weingartner, Terry Whitledge, Ron Lindsay*

**Intellectual Merit:** The narrow (~ 85 km wide), shallow (~ 50 m deep) Bering Strait is the only ocean gateway between the Pacific and the Arctic Ocean. The throughflow, although small in volume (~ 0.8 Sv northwards in the annual mean), has a startlingly strong impact on the Arctic system:

- it provides ~ 1/5<sup>th</sup> of the oceanic heat input to the Arctic, is a driver of the seasonal melt-back of ice in the Chukchi/western Arctic, and is a subsurface heat source for over half the Arctic Ocean;
- it is a highly variable source of freshwater, contributing 1/3<sup>rd</sup> of the freshwater input to the Arctic; and
- it carries the most nutrient-rich waters entering the Arctic Ocean, fueling Arctic ecosystems.

Draining the Bering Sea Shelf to the south, the throughflow provides an integrated measure of Bering Sea change, dominates the hydrography of the highly productive Chukchi Sea, and (models suggest) influences the North Atlantic overturning circulation and possibly world climate.

Recent measurements of the Bering Strait fluxes find strong seasonal and interannual variability, so far unpredictable – the heat flux increase from 2001 to 2004 is enough to melt an 800 km by 800 km area of 1 m thick ice, and the interannual variability in freshwater is likely ~ 30%. Yet, our understanding of what sets the properties and variability of the throughflow is still rudimentary, and our ability to measure these fluxes accurately is constrained by lack of data, both from the most nutrient-rich western half of the strait (which lies in Russian waters), and from the upper water column (due to potential ice-keel damage to instrumentation), where stratification and coastal boundary currents (especially the Alaskan Coastal Current in the eastern channel) contribute significantly to freshwater and heat fluxes.

Given the significant role of Pacific waters in the Arctic, quantifying the Bering Strait throughflow and its properties is essential to understanding the present functioning of the Arctic system, and the causes and prediction of present and future Arctic change. This makes a Bering Strait monitoring system a vital component of the Arctic Observing Network (AON). Thus, this proposal is for an international project to:

- 1) measure the velocities and water properties of the Bering Strait throughflow, and quantify oceanic fluxes of volume, freshwater, heat and nutrients through the strait;
- 2) design (and calibrate) an optimum monitoring system for oceanic fluxes through the Bering Strait on daily to interannual time scales, using *in situ*, satellite, and numerical weather prediction results;
- 3) utilize the system design to improve and extend previous Bering Strait flux estimates back several decades and provide uncertainties estimates for all fluxes.

To obtain the necessary data to design and calibrate an effective, efficient monitoring system for the strait, the project focuses on a 3-year deployment (2010-2013) of an 8-mooring array, supported by annual CTD surveys, satellite data, and model winds. The array includes upper and lower layer temperature, salinity and velocity measurements in both channels of the strait and at one “climate” site to the north, and across-strait pressure measurements. Ship time and acquisition of Russian working permissions are supported by NOAA. The project is urgent since present year-round measurements in the strait (now an 18-year climate time-series) end in summer 2009, with interim funding being sought for 2009-2010.

**Broader Impacts:** Quantification of the Bering Strait oceanic fluxes is vital to local, regional and global multidisciplinary observational, theoretical and modeling studies, and cited in over 100 recent publications. The proposal will maintain a “one-stop” website for fast community access to Bering Strait data and results, and provide a mooring platform in the strait for other instrumentation. This work will train oceanography and marine science technology students. It will bring the excitement of international polar research and global ocean circulation to K-12 and college students and the general public via a Washington and Alaskan Teacher-at-Sea program aimed at middle schools; science visits to schools and community colleges; and an established Polar Science Weekend at the Pacific Science Center (Seattle’s major science museum). Quantifying Bering Strait fluxes is a key component of the international AOOS (Arctic Ocean Observing System) and the National Academies AON plan. It contributes to national and international programs such as ASOF (Arctic Subarctic Ocean Fluxes) and connects sub-Arctic studies, such as the Bering Ecosystem Study, to the Arctic. It is an integral part of the Arctic Observing Network.

## University of Alaska

Subject of RPL: Collaborative Research: Investigating the Relationship Between Pluton Growth and Volcanism at Two Active Intrusions in the Central Andes	ADN/RPL #: 45-0-1110
Amount Requested: \$1,517,928	Appropriation Authority: Sec. 4, Ch. 17, SLA 2009, Page 9, Lines 12-16
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 14.40.40

### **PURPOSE**

The requested federal stimulus receipt authority will allow the University of Alaska Fairbanks to accept a National Science Foundation award for a project entitled: “Collaborative Research: Investigating the Relationship Between Pluton Growth and Volcanism at Two Active Intrusions in the Central Andes”.

This award is federally funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated April, 2009.

### **PREVIOUS LEGISLATIVE CONSIDERATION**

This project has not previously been considered. This is a new multi-year federal award that is effective September 1, 2009 and expires August 31, 2014. The award was issued on July 2, 2009 and has not been requested as part of the University’s budget.

### **TIMING ISSUES**

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority is not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009. Proposal EAR-0909254 was submitted for this project, but was not approved until the additional National Science Foundation funding thru ARRA became available.

### **BUDGETARY ISSUES**

This project is directly aligned with the University of Alaska’s long term plans and mission: “The University of Alaska Fairbanks, the nation’s northernmost Land, Sea and Space Grant University and international research center, advances and disseminates knowledge through teaching, research and public service with an emphasis on Alaska,

the circumpolar North and their diverse peoples. UAF – America’s Arctic University – promotes academic excellence, student success and lifelong learning.”

No State General Funds will be used, nor is any match required. The federal stimulus funds will be expended from FY10 thru FY15. An indirect cost is being charged to the award to cover the administrative cost of the program.

The total amount of the award is \$1,517,928. This request adds an additional \$1,517,928 to the University’s existing federal economic stimulus authority for competitive, discretionary, and incentive grants capital project appropriation contained within Sec. 4, Ch. 17, SLA 2009.

A copy of the agreement for this Award No. EAR-0909254 is attached, along with an executive summary and a budget document detailing expenditures for the life of the grant.

Agency Contact: Michelle Rizk, (907) 450-8187

OMB Approved: \_\_\_\_\_ Date: \_\_\_\_\_

**Subject:** Award Id : 0909254, PI: McNutt

**From:** rjoyce@nsf.gov

**Date:** 2 Jul 2009 19:45:14 -0400

**To:** fygrcon@uaf.edu

**CC:** dgaawd@nsf.gov

Award Date:  
Award No.  
Proposal No.

July 2, 2009  
EAR-0909254  
EAR-0909254

Ms. Maggie Griscavage  
Director, Grant and Contract Services  
University of Alaska Fairbanks  
109 ASC  
P.O. Box 757880  
Fairbanks, AK 99775-7880

Dear Ms. Griscavage:

The National Science Foundation hereby awards a grant of \$1,517,928 to University of Alaska Fairbanks for support of the project described in the proposal referenced above as modified by cover page dated November 28, 2008.

This project, entitled "Collaborative Research: Investigating the Relationship Between Pluton Growth and Volcanism at Two Active Intrusions in the Central Andes," is under the direction of Stephen R. McNutt, Douglas H. Christensen, Michael E. West, in collaboration with the following proposals

Proposal No:           PI Name/Institution

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0908281	Matthew E. Pritchard, Cornell
University - Endowed	
0908850	Noah . Finnegan, University of
California, Santa Cruz	
0908324	Shanaka L. de Silva, Oregon
State University	
0908140	Todd C. Feeley, Montana State
University	

This award is effective September 1 , 2009 and expires August 31, 2014.

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:

[http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=arra0509](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509)

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is also subject to Research Terms and Conditions (RTC, dated July 2008) and the NSF RTC Agency-Specific Requirements (dated January 2009) are available at <http://www.nsf.gov/awards/managing/rtc.jsp>. This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots..

This award is subject to the provisions of program solicitation NSF 04-512, entitled "Continental Dynamics (CD)".

All materials produced as part of this project, including electronic components such as World Wide Web pages, must include a clear indication of source(s) of support (both NSF and any other contributors.)

F.L. 26, "Administration of NSF Conference or Group Travel Award Grant Special Conditions," dated 03/08, are applicable. See [www.nsf.gov/pubs/policydocs/fl2608.pdf](http://www.nsf.gov/pubs/policydocs/fl2608.pdf)

Costs of entertainment, amusement, diversion and social activities, and any costs directly associated with such costs (such as meals, lodging, rentals, transportation and gratuities) are unallowable. When certain meals are an integral and necessary part of a conference or meeting (i.e., working meals where business is transacted), grant funds may be used for such meals. Grant funds may also be used

to furnish a reasonable amount of coffee or soft drinks for conference or meeting participants and attendees during coffee breaks.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

Please view the project reporting requirements for this award at the following web address [<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=0909254>].

The cognizant NSF program official for this grant is Leonard E. Johnson, (703) 292-8559.

The cognizant NSF grants official contact is Jessie L. Richardson, (703) 292-4811.

Sincerely,

Robert F. Joyce  
Grants and Agreements Officer

CFDA No. 47.082  
[fygrcon@uaf.edu](mailto:fygrcon@uaf.edu)

EAR-0909254  
000

## SUMMARY PROPOSAL BUDGET

Person MOS	cal	acad	sumr	Funds granted By NSF
A. (3.00) Total Senior personnel	19.00	0.00	0.00	\$186,444
B. Other Personnel				
1. (0.00) Post Doctoral associates	0.00	0.00	0.00	\$0
2. (0.00) Other professionals	0.00	0.00	0.00	\$0
3. (10.00) Graduate students				\$284,819
4. (0.00) Secretarial-clerical				\$0
5. (5.00) Undergraduate students				\$17,100
6. (4.00) Other				\$9,444
Total salaries and wages (A+B)				\$497,807
C. Fringe benefits (if charged as direct cost)				\$90,805
Total salaries wages and fringes (A+B+C)				\$588,612
D. Total permanent equipment				\$0
E. Travel				
1. Domestic				\$62,341
2. Foreign				\$188,512
F. Total participant support costs				\$0
G. Other direct costs				
1. Materials and supplies				\$42,200
2. Publication costs/page charges				\$0
3. Consultant services				\$0
4. Computer (ADPE) services				\$0
5. Subcontracts				\$0
6. Other				\$215,779
Total other direct costs				\$257,979
H. Total direct costs (A through G)				\$1,097,444
I. Total indirect costs				\$420,484
J. Total direct and indirect costs (H+I)				\$1,517,928
K. Residual funds / Small business fee				
1. Residual funds (if for further support of current projects AAG I.D.2 and I.D.3)				\$0
2. Small business fee				\$0
L. Amount of this request (J) or (J-K1+K2)				\$1,517,928
M. Cost sharing				\$0

## A. PROJECT SUMMARY

### Intellectual Merit:

By integrating geophysical, geochemical, and geomorphological techniques with numerical modelling we propose to investigate preliminary evidence for active mid-crustal intrusion and crustal formation at two volcanic areas in the central Andes, Uturuncu and Lazufre. In particular, we seek to place the present snapshot of activity, provided by seismology, magnetotellurics, GPS, InSAR, and gravity change, within the context of long-term activity and local and regional tectonics as determined from geomorphology and geochemistry. With the primary goal of constraining how magma accumulates and erupts in areas of active intrusion and volcanism we will determine: (1) the rates of intrusion and eruption and whether those rates have been steady or episodic over the past several million years; (2) the characteristics of the active intrusions, including their depth, volume, temperature, melt content, and shape and how they relate to magma chambers that erupted over the last several million years; and (3) how the active intrusion interacts with its surroundings through deformation, faulting, associated fluid flow (into nearby sills), metamorphic reactions, and geothermal activity (fumaroles and hot springs temperature and compositional characteristics and/or changes). We place strong emphasis on a multidisciplinary approach to extend and constrain the geophysical signals with geochemical and petrological methods to (1) unravel the time scales of P-T conditions of melt generation, crystallization and differentiation, (2) establish the extent to which Uturuncu might represent continuation of the regional ignimbrite flare-up, and (3) estimate petrologic thermal and mass balances that in turn, will inform the numerical models of crustal magmatism. Working in South America is necessary because available data suggests that mid-crustal intrusion has been occurring for the last 10-20 years. There is little vegetation, which is good for InSAR, and it is possible to drive nearly everywhere needed so field costs are relatively low. It would not have been possible to do this study 15 years ago because the InSAR results that provoked this study did not exist, and the targets would not have otherwise appeared to be extraordinary. The project has potential to be transformative science because we are addressing issues that go to the heart of our understanding of monitoring potentially hazardous volcanoes and what these signals mean to arc magmatism, the volcano-plutonic connection, and eruption prediction. Of particular importance is that this region has had 10 large (VEI 8) caldera-forming eruptions in the last 10 my, so we hope to provide a realistic assessment of the likelihood of another super-eruption. The knowledge we create will have a broad impact of work on active well known arc- and caldera-related magmatic systems in the US and elsewhere in the world.

### Broader Significance:

This project has several broader impacts that are strongly tied to the proposed research: 1) *Educational opportunities for geoscience students*, especially under-represented students particularly those funded by the NSF OEDG program. At the undergraduate level, we will have a summer intern program run by UAF that will match targeted students with one of the project PIs. The students may be involved in fieldwork, lab work, or computer analysis. We envision two to three students involved each year. We will also target underrepresented students, particularly Latin students for participation in the project as graduate students. 2) *International impact*. This project is a collaborative effort between scientists from the Bolivia-Chile-Argentina region and the US, Canada and UK, and will help strengthen ties between the scientific communities in those countries. The detailed understanding of a portion of the APMB will be of value to the entire affected region, which includes parts of three countries. In addition to being multi-national the project is also multi-institutional, which offers cross-fertilization between scientists, students, funding agencies, and scientific disciplines. 3) *Public outreach* will include a project web site and presentations to schools and community events near each of the involved institutions. At Cornell, our educational partner is the Paleontological Research Institute (PRI; <http://www.priweb.org>), which has over 40,000 visitors a year. Similarly, UAF has a relationship with the Museum of the North, which is visited by over 150,000 people per year. K-12 programs at OSU and the VolcanWorld website (<http://volcano.oregonstate.edu>) have provided very effective outreach for previous NSF projects and will be included here. 4) *Local impact in Bolivia*. The group of international scientists converging on the village near Uturuncu (called Quetena) is bound to make an impression, and we will undertake several activities to make sure that the impact is positive. 5) *Data access*. In terms of cyber infrastructure and data management we will make our seismic, magnetotelluric, and geodetic data available to other scientists via IRIS DMC and UNAVCO.

## University of Alaska

Subject of RPL: Collaborative Research: Environmental changes alter the carbon cycle of High Arctic ecosystems: shifts in the ages and sources of CO2 and DOC	ADN/RPL #: 45-0-1111
Amount Requested: \$502,530	Appropriation Authority: Sec. 4, Ch. 17, SLA 2009, Page 9, Lines 12-16
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 14.40.40

### **PURPOSE**

The requested federal stimulus receipt authority will allow the University of Alaska Anchorage to accept a National Science Foundation award for a project entitled: "Collaborative Research: Environmental changes alter the carbon cycle of High Arctic ecosystems: shifts in the ages and sources of CO2 and DOC".

This award is federally funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated April, 2009.

### **PREVIOUS LEGISLATIVE CONSIDERATION**

This project has not previously been considered. This is a new multi-year federal award that is effective September 1, 2009 and expires August 31, 2012. The award was issued on July 16, 2009 and was not requested as part of the University's budget.

### **TIMING ISSUES**

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority is not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009. Proposal No. ARC-0909538 was submitted, but not approved until the additional National Science Foundation funding thru ARRA became available.

### **BUDGETARY ISSUES**

This project is directly aligned with the University of Alaska's long term plans and mission: "The mission of the University of Alaska Anchorage is to discover and disseminate knowledge through teaching, research, engagement, and creative expression."

No State General Funds will be used, nor is any match required. The federal stimulus funds will be expended between FY10-FY13. An indirect cost is being charged to the award to cover the administrative cost of the program.

The total amount of the award is \$502,530. This request adds an additional \$502,530 to the University's existing federal economic stimulus authority for competitive, discretionary, and incentive grants capital project appropriation contained within Sec. 4, Ch. 17, SLA 2009.

A copy of the award letter for Award No. ARC-0909538 is attached, along with the budget document detailing expenditures for the life of the grant.

Agency Contact: Michelle Rizk, (907) 450-8187

OMB Approved: \_\_\_\_\_ Date: \_\_\_\_\_

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# National Science Foundation

4201 WILSON BOULEVARD, ARLINGTON, VIRGINIA 22230

Award Date:  
Award No.  
Proposal No.

July 16, 2009  
ARC-0909538  
ARC-0909538

Dr. Robert G. White  
V.P. for Graduate Studies and Research Council  
University of Alaska, Anchorage  
3211 PROVIDENCE DRIVE  
ANCHORAGE, AK 99508-4614

Dear Dr. White:

The National Science Foundation hereby awards a grant of \$502,530 to University of Alaska, Anchorage for support of the project described in the proposal referenced above.

This project, entitled "Collaborative Research: Environmental changes alter the carbon cycle of High Arctic ecosystems: shifts in the ages and sources of CO<sub>2</sub> and DOC," is under the direction of Jeffrey M. Welker, Patrick F. Sullivan, in collaboration with, Claudia Czimczik, University of California, Irvine and Joshua P. Schimel, University of California, Santa Barbara.

This award is effective September 1, 2009 and expires August 31, 2012.

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:

[http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=arra0509](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509)

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is also subject to Research Terms and Conditions (RTC, dated July 2008) and NSF RTC Agency Specific Requirements (dated July 2008) available at <http://www.nsf.gov/awards/managing/rtc.jsp> and the following terms and conditions:

The provisions of NSF 08-597, "Arctic Research Opportunities" are applicable to

this award.

The Director of the Office of Polar Programs has established Guidelines and Award Conditions for OPP Scientific Data effective in FY-99. The full document is available on the OPP webpages at:  
(<http://www.nsf.gov/pubs/1999/opp991/opp991.txt>).

Principal Investigators of OPP awards should make their data available to all reasonable requests. Where applicable, the Principal Investigators should submit the data collected to designated data centers as soon as possible, but no later than two (2) years after the data are collected. For continuing observations, data inventories should be submitted periodically if and when there is a significant change in location, type or frequency of such observations.

Principal Investigators of OPP-funded awards are REQUIRED to submit to appropriate electronic data directories, a description of their data (i.e., metadata) resulting from OPP-funded research in the form of a Directory Interchange Format (DIF) entry. Submission of the DIF may be at any time during the tenure of the grant. At the time of submission of the Final Report to NSF, a copy of the DIF must be sent to the cognizant program official in OPP.

For OPP-supported Antarctic projects, DIF submission should be to the Antarctic Master Directory, via the USAP Data Coordination Center (<http://www.usap-data.org/>). For OPP-supported Arctic projects, DIF submission should be to the Arctic System Science Data Coordination Center at <http://arcss.colorado.edu>.

Because this grant is to be performed in Greenland, the United States Government must obtain the permission of the Danish Government on your behalf. Such permission has been conditioned on the U.S. Government's accepting liability for injury or damage to persons or property that might result from U.S. activities in Greenland territory.

Accordingly, as a condition of this grant, the grantee must agree to indemnify and hold harmless the Government of the United States from any liability for injury or damage to persons or property in Greenland land or sea territory which arises as a result of activities under this project, unless such liability arises as the result of the negligence or willful actions of U.S. Government employees.

In lieu of indemnification, the grantee may acquire liability insurance coverage in the amount of two million dollars which includes the U.S. Government as a named insured for activities under this award. Grantee institutions are advised to acquire adequate insurance coverage. Funds for such insurance premiums are an allowable charge against the grant awarded by NSF.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

Please view the project reporting requirements for this award at the following web address  
[<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awardID=0909538>].

The cognizant NSF program official for this grant is Neil R. Swanberg, (703) 292-8029.

The cognizant NSF grants official contact is Maria Valerio, (703) 292-4832.

Sincerely,

John C. Robey  
Grants and Agreements Officer

CFDA No. 47.082  
anrgwl@uaa.alaska.edu

□

ARC-0909538  
000

## SUMMARY PROPOSAL BUDGET

### Award No. 0909538

Person MOS	cal	acad	sumr	Funds granted By NSF
A. (2.00) Total Senior personnel	3.75	0.00	0.00	\$30,234
B. Other Personnel				
1. (3.00) Post Doctoral associates	36.00	0.00	0.00	\$145,703
2. (0.00) Other professionals	0.00	0.00	0.00	\$0
3. (0.00) Graduate students				\$0
4. (0.00) Secretarial-clerical				\$0
5. (2.00) Undergraduate students				\$24,000
6. (0.00) Other				\$0
Total salaries and wages (A+B)				\$199,937
C. Fringe benefits (if charged as direct cost)				\$73,249
Total salaries wages and fringes (A+B+C)				\$273,186
D. Total permanent equipment				\$5,200
E. Travel				
1. Domestic				\$38,248
2. Foreign				\$3,700
F. Total participant support costs				\$0
G. Other direct costs				
1. Materials and supplies				\$22,600
2. Publication costs/page charges				\$0
3. Consultant services				\$33,408
4. Computer (ADPE) services				\$0
5. Subcontracts				\$0
6. Other				\$0
Total other direct costs				\$56,008
H. Total direct costs (A through G)				\$376,342
I. Total indirect costs				\$126,188
J. Total direct and indirect costs (H+I)				\$502,530
K. Residual funds / Small business fee				
1. Residual funds (if for further support of current projects GPM 252 and 253)				\$0
2. Small business fee				\$0
L. Amount of this request (J) or (J-K1+K2)				\$502,530
M. Cost sharing				\$0

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**National Science Foundation**

4201 Wilson Boulevard, Arlington, Virginia 22230, USA  
Tel: 703-292-5111, FIRS: 800-877-8339 | TDD: 703-292-5090

**Privacy and**  
**Security**

The Arctic is undergoing structural and functional changes that appear to be the result of climate warming, including shifts in the distribution of vegetation, increases in the magnitudes of carbon (C) loss to the atmosphere in the form of CO<sub>2</sub>, CH<sub>4</sub> and the acceleration of dissolved organic carbon (DOC) export from land to rivers, and to the ocean. However, our research in NW Greenland has produced three lines of evidence that suggest environmental change and climate warming affect C pools and losses in ways we do not yet fully understand. **First**, substantial stocks of ancient C (>30 kybp) are present in the lower active layer at a site that was covered by ice as recently as 23 kybp and soil C pools in the High Arctic are 6x the previous estimates. **Second**, CO<sub>2</sub> exchange measurements have consistently shown net C losses from High Arctic ecosystems during the growing season; these C losses are however reversed under warmer and wetter conditions and with modest snow depth increases during the previous winter. **Third**, it appears that soil microbes remain active to temperatures as low as -10°C in the Arctic and **forth**, soil CO<sub>2</sub> efflux measurements indicate that ancient soil organic C is being lost to the atmosphere by microbial respiration before vegetation leaf-out, but that once plants become active, plant respiration (recently-fixed C) dominates ecosystem respiration. *The sources of this C are however, not known. Articulating the magnitudes of CO<sub>2</sub> and CH<sub>4</sub> exchange, the ages of soil respired CO<sub>2</sub> along with ages of DOC in soil solution and in rivers and determining the degradation of different soil organic matter pools by microbes will transform our understanding of environmental change, ecosystem function and carbon cycling in the Arctic.*

Reaching the next plateau of understanding arctic environmental change requires increased understanding of the seasonal and inter-annual differences in the ages of soil respired CO<sub>2</sub> and DOC in soils and rivers. A High Arctic analysis of C dynamics is warranted and urgent because Greenland is warming at some of the greatest rates in the Arctic, the Greenland Ice Sheet is thinning and receding at its margins, exposing old ecosystems to the atmosphere, while causing increases in the flow of rivers to the ocean and the export of terrestrial C to the marine system. This project takes advantage of research teams from three universities, the use of long-term field manipulations that simulate conditions into the mid-21<sup>st</sup> century and utilizes collaborations with colleagues in Nuuk, Greenland to disseminate the findings to villages throughout the island and the Arctic.

The **intellectual merit** in our study will be addressed through these questions: **1.** How does the age (recently-fixed vs. older) of soil respired CO<sub>2</sub> and DOC change over the course of a year, to what extent is this influenced by inter-annual variability in climate and snow cover and how does it correspond with the patterns of CO<sub>2</sub> and CH<sub>4</sub> flux? **2.** To what extent do long term experimental increases in temperature (+2 and + 4°C), and increases in water inputs (summer rain & winter snow) alter the ages magnitudes, and patterns of C fluxes (CO<sub>2</sub>, CH<sub>4</sub>, and DOC concentration)? **3.** Are there differences in the extent of microbial degradation of recent as opposed to older soil C pools and how sensitive are the degradation rates to changes in climate? These research activities specifically address the *SEARCH* research themes of *Observing Change Activities* and *Understanding Change Activities*, including these key questions: a) "how are the key biogeochemical cycles coupled with Arctic Change? B) how are biogeochemical cycles of terrestrial ecosystems affected by warming and changes in precipitation? and c) is Arctic Change affecting fluxes of dissolved and particulate matter from land to sea?"

The **Broader Impacts** of our project will be accomplished with four activities. **First**, Jane Sorensen, a Danish citizen teaching in Nuuk, Greenland will be collaborating with us on a host of education and outreach activities in Greenland including activities associated with the GLOBE program ([http://www.globe.gov/globe\\_flash.html](http://www.globe.gov/globe_flash.html)). Our **second** activity will use the BLM Campbell Creek Science Center in Anchorage as a public education and outreach portal for this project and all of IPY. **Third**, will be to develop a video documentary of our *SEARCH* activities that will be distributed to schools in Greenland and in the US and **fourth**, we will provide mentoring to postdoctoral scientists and undergraduate students in the form of research leadership opportunities,

and seminar responsibilities for our postdoctoral scientists along with field, and laboratory research experience for our undergraduate students.

This research is specifically targeted at understanding environmental change in the Arctic with a focus on the detailed aspects of carbon losses from terrestrial landscapes to the atmosphere and to the riverine systems and the ocean. Today, we are now recognizing that High Arctic landscapes have much larger pools of C, some of it quite old, and C lost by these ecosystems may come from both modern and ancient soil pools, including from degrading permafrost. Articulating the proportions of modern and old C being lost, understanding the magnitudes of these losses, and delineating the processes controlling these losses is essential to understanding and predicting how these systems are behaving now and how they will behave in the future. Accelerated losses of C to the atmosphere and to the ocean will feed forward the rising CO<sub>2</sub> and CH<sub>4</sub> concentrations in the atmosphere with additional cascading effects both in the Arctic and globally. In addition, accelerated C loss to the oceans via DOC will alter freshwater and near-shore food webs, and the long term biogeochemistry of Arctic marine systems.

## University of Alaska

Subject of RPL: Near-inertial wave generation, propagation and shoaling in a seasonally ice-covered ocean	ADN/RPL #: 45-0-1112
Amount Requested: \$259,559	Appropriation Authority: Sec. 4, Ch. 17, SLA 2009, Page 9, Lines 12-16
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 14.40.40

### **PURPOSE**

The requested federal stimulus receipt authority will allow the University of Alaska Fairbanks to accept a National Science Foundation award for a project entitled: “Near-inertial wave generation, propagation and shoaling in a seasonally ice-covered ocean”.

This award is federally funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated April, 2009.

### **PREVIOUS LEGISLATIVE CONSIDERATION**

This project has not previously been considered. This is a new multi-year federal award that is effective August 1, 2009 and expires July 31, 2011. The award was issued on July 17, 2009 and has not been requested as part of the University’s budget.

### **TIMING ISSUES**

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority is not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009. Proposal ARC-0909432 was submitted for this project, but was not approved until the additional National Science Foundation funding thru ARRA became available.

### **BUDGETARY ISSUES**

This project is directly aligned with the University of Alaska’s long term plans and mission: “The University of Alaska Fairbanks, the nation’s northernmost Land, Sea and Space Grant University and international research center, advances and disseminates knowledge through teaching, research and public service with an emphasis on Alaska, the circumpolar North and their diverse peoples. UAF – America’s Arctic University – promotes academic excellence, student success and lifelong learning.”

No State General Funds will be used, nor is any match required. The federal stimulus funds will be expended from FY10 thru FY12. An indirect cost is being charged to the award to cover the administrative cost of the program.

The total amount of the award is \$259,559. This request adds an additional \$259,559 to the University's existing federal economic stimulus authority for competitive, discretionary, and incentive grants capital project appropriation contained within Sec. 4, Ch. 17, SLA 2009.

A copy of the agreement for this Award No. ARC-0909432 is attached, along with an executive summary and a budget document detailing expenditures for the life of the grant.

Agency Contact: Michelle Rizk, (907) 450-8187

OMB Approved: \_\_\_\_\_ Date: \_\_\_\_\_

**Subject:** Award Id : 0909432, PI: Simmons

**From:** jrobey@nsf.gov

**Date:** 17 Jul 2009 07:38:30 -0400

**To:** fygrcon@uaf.edu

**CC:** dgaawd@nsf.gov

Award Date:

July 17, 2009

Award No.

ARC-0909432

Proposal No.

ARC-0909432

Ms. Maggie Griscavage  
Director, Grant and Contract Services  
University of Alaska Fairbanks  
109 ASC  
P.O. Box 757880  
Fairbanks, AK 99775-7880

Dear Ms. Griscavage:

The National Science Foundation hereby awards a grant of \$259,559 to University of Alaska Fairbanks for support of the project described in the proposal referenced above.

This project, entitled "Near-inertial wave generation, propagation, and shoaling in a seasonally ice-covered ocean," is under the direction of Harper L. Simmons.

This award is effective August 1 , 2009 and expires July 31, 2011.

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:  
[http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=arra0509](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509)

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is also subject to Research Terms and Conditions (RTC, dated July 2008) and the NSF RTC Agency-Specific Requirements (dated January 2009) are available at <http://www.nsf.gov/awards/managing/rtc.jsp>. This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots. and the following terms and conditions:

The provisions of NSF 08-597, "Arctic Research Opportunities" are applicable to this award.

The Director of the Office of Polar Programs has established Guidelines and Award Conditions for OPP Scientific Data effective in FY-99. The full document is available on the OPP webpages at: (<http://www.nsf.gov/pubs/1999/opp991/opp991.txt>).

Principal Investigators of OPP awards should make their data available to all reasonable requests. Where applicable, the Principal Investigators should submit the data collected to designated data centers as soon as possible, but no later than two (2) years after the data are collected. For continuing observations, data inventories should be submitted periodically if and when there is a significant change in location, type or frequency of such observations.

Principal Investigators of OPP-funded awards are REQUIRED to submit to appropriate electronic data directories, a description of their data (i.e., metadata) resulting from OPP-funded research in the form of a Directory Interchange Format (DIF) entry. Submission of the DIF may be at any time during the tenure of the grant. At the time of submission of the Final Report to NSF, a copy of the DIF must be sent to the cognizant program

official in OPP.

For OPP-supported Antarctic projects, DIF submission should be to the Antarctic Master Directory, via the USAP Data Coordination Center (<http://www.usap-data.org/>). For OPP-supported Arctic projects, DIF submission should be to the Arctic System Science Data Coordination Center at <http://arcss.colorado.edu>.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

Please view the project reporting requirements for this award at the following web address [<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=0909432>].

The cognizant NSF program official for this grant is William J. Wiseman, Jr., (703) 292-4750.

The cognizant NSF grants official contact is Maria Valerio, (703) 292-4832.

Sincerely,

John C. Robey  
Grants and Agreements Officer

CFDA No. 47.082  
[fygrcon@uaf.edu](mailto:fygrcon@uaf.edu)

ARC-0909432  
000

## SUMMARY PROPOSAL BUDGET

Person MOS	cal	acad	sumr	Funds granted By NSF
A. (1.00) Total Senior personnel	1.00	0.00	0.00	\$8,166
B. Other Personnel				
1. (0.00) Post Doctoral associates	0.00	0.00	0.00	\$0
2. (2.00) Other professionals	12.00	0.00	0.00	\$73,371
3. (2.00) Graduate students				\$27,380
4. (0.00) Secretarial-clerical				\$0
5. (0.00) Undergraduate students				\$0
6. (0.00) Other				\$0
Total salaries and wages (A+B)				\$108,917
C. Fringe benefits (if charged as direct cost)				\$42,067
Total salaries wages and fringes (A+B+C)				\$150,984
D. Total permanent equipment				\$0
E. Travel				
1. Domestic				\$3,975
2. Foreign				\$0
F. Total participant support costs				\$0
G. Other direct costs				
1. Materials and supplies				\$3,000
2. Publication costs/page charges				\$2,800
3. Consultant services				\$0
4. Computer (ADPE) services				\$0
5. Subcontracts				\$0
6. Other				\$26,072
Total other direct costs				\$31,872
H. Total direct costs (A through G)				\$186,831
I. Total indirect costs				\$72,728
J. Total direct and indirect costs (H+I)				\$259,559
K. Residual funds / Small business fee				
1. Residual funds (if for further support of current projects AAG I.D.2 and I.D.3)				\$0
2. Small business fee				\$0

L. Amount of this request (J) or (J-K1+K2)  
M. Cost sharing

\$259,559  
\$0

## **Near-inertial wave generation, propagation, and shoaling in a seasonally ice-covered ocean**

Start date: July 1, 2009, Project Duration: Two years

### **PROJECT SUMMARY**

The PI is presently funded by DoD/DEPSCoR in a program called Ice-Covered Ocean Response to Atmospheric Storms (ICORTAS) whose purpose is to study the spin-up and spin-down of inertial energy in the ice-covered ocean. ICORTAS instrumentation was deployed in August of 2008, and will be retrieved in July 2009. The study area is the southern edge of the Beaufort Sea off the North Slope of Alaska. The study received funding for instrumentation and PI support, but does not contain graduate or postdoctoral education components. Furthermore, unanticipated but fortuitous circumstances allowed ICORTAS to join "Circulation, cross-shelf exchange, sea ice, and marine mammal habitats on the Alaskan Beaufort Sea Shelf" (denoted BSA-NOPP here). The resulting mooring array comprises ten moorings covering spatial scales from 10 to 100km, ocean depths from 10 to 2000m, and time scales from minutes to seasonal. This unanticipated "sistering" of the ICORTAS and BSA-NOPP programs resulted in a far great scientific dividend than anticipated and justifies the addition of an education component proposed here. Salary support for both the student and the postdoc will be shared with the Arctic Regional Supercomputer Center, therefore only 50% of full-time salary is requested for each of these positions.

We propose to expand the scientific goals of ICORTAS by supplementing the observations with a modeling component that will capitalize on a model's ability to resolved temporal and spatial fields, aiding in interpretation of the data. Specific new goals will be to focus on shoaling and dissipation of near-inertial wave groups as they are absorbed or scatter at the continental shelf break. We can use the fact that this area is seasonally ice-free to explore the impact that a changing ice cover may have on internal wave energy levels, both through changes in the efficiency of generation, and changes in under-ice dissipation. Simulations will be tightly linked to the field data, using measured upper ocean sea-ice drift and deformation, currents and remote sensing products.

BSA-NOPP and ICORTAS mutually benefit each other by greatly expanding the combined scope and scientific potential. BSA-NOPP can now extend its ability to examine exchanges ranging from the inner shelf (10m) to the outer shelf (>1000m). ICORTAS can broaden the spatial scales that it can resolve through a larger number of moorings, and from the addition of the high-spatial resolution sea-ice deformation "RGPS" fields supported by BSA-NOPP.

*Intellectual Merit:* Basic questions regarding the influence of ice cover on wave generation remain open. For example, the traditional views that ice isolates the ocean from atmospheric forcing have been challenged by data which suggest episodic increases in wave activity during the winter (Halle and Pinkel, 2003), even during periods of heavy ice cover. Without understanding such first order problems, we cannot begin to unravel the complexities of the relationship between ice cover, internal waves and consequent turbulent mixing. A model will be used to address details of wave generation, including the response of ice-covered and ice-free regions, the wave flux onto the slope and shelf, and the heat flux by the waves into the surface layer, coordinated tightly with an ongoing field program.

*Broader Impact:* The proposed broader outreach will consist of graduate and postdoctoral scholar education. The focus of these investigations will be interdisciplinary Arctic Ocean dynamics and computational methods, training the education of the next generation of Polar scientists. Topics that will be addressed range from climate change (impacts of a changing ice cover), Atmospheric Science (storm analysis), air-sea interactions (Atmosphere-ocean coupling), sea-ice mechanics (sea-ice deformation and drift), physical oceanography (near-inertial waves, shelf-basin exchanges, ventilation of deep water masses), et cetera. Changes in energy levels in the seasonally ice-free Beaufort can be used a proxy for understanding climatic transitions to a seasonally ice-free Arctic.

## University of Alaska

Subject of RPL SGER: Emergency Analysis and Conservation of Early Holocene Organic Tools from Central Alaska	ADN/RPL #: 45-0-1113
Amount Requested: \$6,530	Appropriation Authority: Sec. 4, Ch. 17, SLA 2009, Page 9, Lines 12-16
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 14.40.40

### **PURPOSE**

The requested federal stimulus receipt authority will allow the University of Alaska Fairbanks to accept a National Science Foundation award for a project entitled: “SGER: Emergency Analysis and Conservation of Early Holocene Organic Tools from Central Alaska”.

This award is federally funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated April, 2009.

### **PREVIOUS LEGISLATIVE CONSIDERATION**

This project has not previously been considered. This is a new multi-year federal award that is effective August 1, 2009 and expires July 31, 2010. The award was issued on July 21, 2009 and has not been requested as part of the University’s budget.

### **TIMING ISSUES**

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority was not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009.

### **BUDGETARY ISSUES**

This project is directly aligned with the University of Alaska’s long term plans and mission: “The University of Alaska Fairbanks, the nation’s northernmost Land, Sea and Space Grant University and international research center, advances and disseminates knowledge through teaching, research and public service with an emphasis on Alaska, the circumpolar North and their diverse peoples. UAF – America’s Arctic University – promotes academic excellence, student success and lifelong learning.”

No State General Funds will be used, nor is any match required. The federal stimulus funds will be expended during FY10 and FY11. This request adds an additional \$6,530 to the University's existing federal economic stimulus authority for competitive, discretionary, and incentive grants capital project appropriation contained within Sec. 4, Ch. 17, SLA 2009.

A copy of the agreement for this Award No. ARC-0902186 is attached, along with an executive summary and a budget document detailing expenditures for the life of the grant.

Agency Contact: Michelle Rizk, (907) 450-8187

OMB Approved: \_\_\_\_\_ Date: \_\_\_\_\_

**Subject:** Award Id : 0902186, PI: Potter

**From:** jrobey@nsf.gov

**Date:** 21 Jul 2009 07:56:50 -0400

**To:** fygrcon@uaf.edu

**CC:** dgaawd@nsf.gov

Award Date:

July 21, 2009

Award No.

ARC-0902186

Proposal No.

ARC-0902186

Ms. Maggie Griscavage  
Director, Grant and Contract Services  
University of Alaska Fairbanks  
109 ASC  
P.O. Box 757880  
Fairbanks, AK 99775-7880

Dear Ms. Griscavage:

The National Science Foundation hereby awards a grant of \$6,530 to University of Alaska Fairbanks for support of the project described in the proposal referenced above.

This project, entitled "SGER: Emergency Analysis and Conservation of Early Holocene Organic Tools from Central Alaska," is under the direction of Ben A. Potter.

This award is effective August 1 , 2009 and expires July 31, 2010.

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:  
[http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=arra0509](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509)

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is also subject to Research Terms and Conditions (RTC, dated July 2008) and the NSF RTC Agency-Specific Requirements (dated January 2009) are available at <http://www.nsf.gov/awards/managing/rtc.jsp>. This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots..

The Director of the Office of Polar Programs has established Guidelines and Award Conditions for OPP Scientific Data effective in FY-99. The full document is available on the OPP webpages at: (<http://www.nsf.gov/pubs/1999/opp991/opp991.txt>).

Principal Investigators of OPP awards should make their data available to all reasonable requests. Where applicable, the Principal Investigators should submit the data collected to designated data centers as soon as possible, but no later than two (2) years after the data are collected. For continuing observations, data inventories should be submitted periodically if and when there is a significant change in location, type or frequency of such observations.

Principal Investigators of OPP-funded awards are REQUIRED to submit to appropriate electronic data directories, a description of their data (i.e., metadata) resulting from OPP-funded research in the form of a Directory Interchange Format (DIF) entry. Submission of the DIF may be at any time during the tenure of the grant. At the time of submission of the Final Report to NSF, a copy of the DIF must be sent to the cognizant program official in OPP.

For OPP-supported Antarctic projects, DIF submission should be to the Antarctic Master

Directory, via the USAP Data Coordination Center (<http://www.usap-data.org/>). For OPP-supported Arctic projects, DIF submission should be to the Arctic System Science Data Coordination Center at <http://arcss.colorado.edu>.

Annual and Final project reports, as required in the NSF Grant Conditions, should document all efforts and outcomes, whether or not they are successful. Please note that these reports will be used to evaluate the merits of the Small Grants for Exploratory Research Program and may be made public.

Renewed support may be requested only through submission of a new proposal that will be subject to the Foundation's normal merit review process.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

Please view the project reporting requirements for this award at the following web address [<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=0902186>].

The cognizant NSF program official for this grant is Anna Kerttula de Echave, (703) 292-7432.

The cognizant NSF grants official contact is Jamie H. French, (703) 292-8644.

Sincerely,

John C. Robey  
Grants and Agreements Officer

CFDA No. 47.082  
[fygrcon@uaf.edu](mailto:fygrcon@uaf.edu)

ARC-0902186  
000

SUMMARY PROPOSAL BUDGET

Person MOS	cal	acad	sumr	Funds granted By NSF
A. (1.00) Total Senior personnel	0.00	0.00	0.00	\$0
B. Other Personnel				
1. (0.00) Post Doctoral associates	0.00	0.00	0.00	\$0
2. (0.00) Other professionals	0.00	0.00	0.00	\$0
3. (0.00) Graduate students				\$0
4. (0.00) Secretarial-clerical				\$0
5. (0.00) Undergraduate students				\$0
6. (0.00) Other				\$0
Total salaries and wages (A+B)				\$0
C. Fringe benefits (if charged as direct cost)				\$0
Total salaries wages and fringes (A+B+C)				\$0
D. Total permanent equipment				\$0
E. Travel				
1. Domestic				\$800
2. Foreign				\$0
F. Total participant support costs				\$0
G. Other direct costs				
1. Materials and supplies				\$0
2. Publication costs/page charges				\$0
3. Consultant services				\$1,600
4. Computer (ADPE) services				\$0
5. Subcontracts				\$0
6. Other				\$2,100
Total other direct costs				\$3,700
H. Total direct costs (A through G)				\$4,500

I. Total indirect costs	\$2,030
J. Total direct and indirect costs (H+I)	\$6,530
K. Residual funds / Small business fee	
1. Residual funds (if for further support of current projects AAG I.D.2 and I.D.3)	\$0
2. Small business fee	\$0
L. Amount of this request (J) or (J-K1+K2)	\$6,530
M. Cost sharing	\$0

## **Project Summary:**

This project consists of emergency conservation and analysis of several Early Holocene organic tools from the Gerstle River site, in central Alaska. Excavation this summer recovered three organic points in well-stratified contexts, with what appear to be slots for microblade insets. These finds are directly associated with Component 3 at the site, dating to ~10,100 cal BP. The points are worked: some exhibit hafting elements and may also contain embedded lithics (some silt has yet to be removed). The organic artifacts have been recovered from intermittently frozen soils and are drying out, necessitating immediate stabilization efforts as well as long-term conservation. The remains are currently stable, provided they do not undergo handling, which limits analyses that can be performed. Once conserved, they will undergo X-ray analysis to help describe the morphology and to identify any small lithics that might remain embedded in the slots. Residue-analysis, lithic analysis, and technological (manufacturing techniques) analyses will be performed once the artifacts are conserved.

## **Intellectual Merits:**

This research provides empirical data on extremely rare organic artifacts with the potential to significantly contribute to our understanding of Late Pleistocene and Early Holocene high latitude cultures. Only a handful of sites contain slotted composite points in association with microblade technology, and the existing analysis of Gerstle River Component 3 indicates a very high resolution of contextual control, with clearly defined activity areas representing microblade production, bifacial and unifacial tool maintenance, and butchery of bison and wapiti. Initial spatial analysis suggests these organic implements are found in a new type of activity area, where organic tool manufacture/maintenance occurred. These contextual data are unparalleled in this region, as many of the previously known slotted points are from cave sites with problematic taphonomy and/or undated contexts. Overall, the potential of these artifacts to contribute to our understanding of organic technology of these ancient peoples is very significant.

## **Broader Impacts:**

This research will have positive impacts at a variety of levels. At the disciplinary level, this project will provide new empirical data on the very rare organic technology (manufacture and use) within systemic contexts, given the previous analyses undertaken at Gerstle River (Potter 2005). Slotted points and microblades are technological adaptations that span the high latitudes, from central Asia to northwest North America. At a regional level, these artifacts can provide direct information about economy of organic tools and use cycle (acquisition, manufacture, use, and discard). Furthermore, the spatial associations with multiple tool classes, features, and butchered fauna at Gerstle River can inform us about more specific roles of technology within overall adaptive strategies associated with the Denali Complex. Finally, these organic tools will be of considerable interest to many researchers across local, regional, and international scales, and to the general public interested in the organic technology associated with the colonization of the Arctic and used by the first peoples of Alaska and the Americas.

## University of Alaska

Subject of RPL: Collaborative Research: Nonlinearities in the Arctic climate system during the Holocene	ADN/RPL #: 45-0-1115
Amount Requested: \$119,999	Appropriation Authority: Sec. 4, Ch. 17, SLA 2009, Page 9, Lines 12-16
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 14.40.40

### **PURPOSE**

The requested federal stimulus receipt authority will allow the University of Alaska Fairbanks to accept a National Science Foundation award for a project entitled: “Collaborative Research: Nonlinearities in the Arctic climate system during the Holocene”.

This award is federally funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated April, 2009.

### **PREVIOUS LEGISLATIVE CONSIDERATION**

This project has not previously been considered. This is a new multi-year federal award that is effective January 1, 2010 and expires December 31, 2012. The award was issued on July 23, 2009 and has not been requested as part of the University’s budget.

### **TIMING ISSUES**

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority is not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009.

### **BUDGETARY ISSUES**

This project is directly aligned with the University of Alaska’s long term plans and mission: “The University of Alaska Fairbanks, the nation’s northernmost Land, Sea and Space Grant University and international research center, advances and disseminates knowledge through teaching, research and public service with an emphasis on Alaska, the circumpolar North and their diverse peoples. UAF – America’s Arctic University – promotes academic excellence, student success and lifelong learning.”

No State General Funds will be used, nor is any match required. The federal stimulus funds will be expended from FY10 thru FY13. An indirect cost is being charged to the award to cover the administrative cost of the program.

The total amount of the award is \$119,999. This request adds an additional \$119,999 to the University's existing federal economic stimulus authority for competitive, discretionary, and incentive grants capital project appropriation contained within Sec. 4, Ch. 17, SLA 2009.

A copy of the agreement for this Award No. ARC-0909523 is attached, along with an Summary Proposal Budget detailing expenditures for the life of the grant.

Agency Contact: Michelle Rizk, (907) 450-8187

OMB Approved: \_\_\_\_\_ Date: \_\_\_\_\_

**Subject:** Award Id : 0909523, PI: Wooller

**From:** jrobey@nsf.gov

**Date:** 23 Jul 2009 11:40:33 -0400

**To:** fygrcon@uaf.edu

**CC:** dgaawd@nsf.gov

Award Date:

July 23, 2009

Award No.

ARC-0909523

Proposal No.

ARC-0909523

Ms. Maggie Griscavage  
Director, Grant and Contract Services  
University of Alaska Fairbanks  
109 ASC  
P.O. Box 757880  
Fairbanks, AK 99775-7880

Dear Ms. Griscavage:

The National Science Foundation hereby awards a grant of \$119,999 to University of Alaska Fairbanks for support of the project described in the proposal referenced above.

This project, entitled "Collaborative Research: Nonlinearities in the Arctic climate system during the Holocene," is under the direction of Matthew J. Wooller, in collaboration with the following proposals

Proposal No:           PI Name/Institution

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0909310 University	Bruce P. Finney, Idaho State
0909332 Arizona University	Darrell S. Kaufman, Northern
0907986 Trustees of the University of Illinois	Feng Sheng . Hu, The Board of
0909347 Colorado	Gifford H. Miller, University of
0909334 Foundation of SUNY, State University of New York at Buffalo	Jason P. Briner, The Research
0908200 Pittsburgh	Mark B. Abbott, University of
0909322 University	Michael G. Loso, Alaska Pacific
0909354 of Massachusetts	Raymond S. Bradley, University
0909362	Zicheng . Yu, Lehigh University

This award is effective January 1 , 2010 and expires December 31, 2012.

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:  
[http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=arra0509](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509)

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is also subject to Research Terms and Conditions (RTC, dated July 2008) and the NSF RTC Agency-Specific Requirements (dated January 2009) are available at <http://www.nsf.gov/awards/managing/rtc.jsp>. This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots. and the following terms and conditions:

The provisions of NSF 08-597, "Arctic Research Opportunities" are applicable to this award.

The Director of the Office of Polar Programs has established Guidelines and Award Conditions for OPP Scientific Data effective in FY-99. The full document is available on the OPP webpages at:

(<http://www.nsf.gov/pubs/1999/opp991/opp991.txt>).

Principal Investigators of OPP awards should make their data available to all reasonable requests. Where applicable, the Principal Investigators should submit the data collected to designated data centers as soon as possible, but no later than two (2) years after the data are collected. For continuing observations, data inventories should be submitted periodically if and when there is a significant change in location, type or frequency of such observations.

Principal Investigators of OPP-funded awards are REQUIRED to submit to appropriate electronic data directories, a description of their data (i.e., metadata) resulting from OPP-funded research in the form of a Directory Interchange Format (DIF) entry. Submission of the DIF may be at any time during the tenure of the grant. At the time of submission of the Final Report to NSF, a copy of the DIF must be sent to the cognizant program official in OPP.

For OPP-supported Antarctic projects, DIF submission should be to the Antarctic Master Directory, via the USAP Data Coordination Center (<http://www.usap-data.org/>). For OPP-supported Arctic projects, DIF submission should be to the Arctic System Science Data Coordination Center at <http://arcss.colorado.edu>.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

Please view the project reporting requirements for this award at the following web address [<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=0909523>].

The cognizant NSF program official for this grant is Neil R. Swanberg, (703) 292-8029.

The cognizant NSF grants official contact is Maria Valerio, (703) 292-4832.

Sincerely,

John C. Robey  
Grants and Agreements Officer

CFDA No. 47.082  
[fygrcon@uaf.edu](mailto:fygrcon@uaf.edu)

ARC-0909523  
000

## SUMMARY PROPOSAL BUDGET

Person MOS	cal	acad	sumr	Funds granted By NSF
A. (1.00) Total Senior personnel	2.00	0.00	0.00	\$17,432
B. Other Personnel				
1. (0.00) Post Doctoral associates	0.00	0.00	0.00	\$0
2. (0.00) Other professionals	0.00	0.00	0.00	\$0
3. (2.00) Graduate students				\$32,860
4. (0.00) Secretarial-clerical				\$0
5. (0.00) Undergraduate students				\$0
6. (0.00) Other				\$0
Total salaries and wages (A+B)				\$50,292
C. Fringe benefits (if charged as direct cost)				\$5,595
Total salaries wages and fringes (A+B+C)				\$55,887
D. Total permanent equipment				\$0
E. Travel				
1. Domestic				\$0
2. Foreign				\$0
F. Total participant support costs				\$0
G. Other direct costs				
1. Materials and supplies				\$1,000
2. Publication costs/page charges				\$0
3. Consultant services				\$0
4. Computer (ADPE) services				\$0
5. Subcontracts				\$0
6. Other				\$33,587
Total other direct costs				\$34,587
H. Total direct costs (A through G)				\$90,474
I. Total indirect costs				\$29,525

J. Total direct and indirect costs (H+I)	\$119,999
K. Residual funds / Small business fee	
1. Residual funds (if for further support of current projects AAG I.D.2 and I.D.3)	\$0
2. Small business fee	\$0
L. Amount of this request (J) or (J-K1+K2)	\$119,999
M. Cost sharing	\$0

# SUMMARY PROPOSAL BUDGET

YEAR 1

ORGANIZATION <b>University of Alaska Fairbanks Campus</b>				FOR NSF USE ONLY					
				PROPOSAL NO.	DURATION (months)				
PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR <b>Matthew J Wooller</b>				Proposed		Granted			
				AWARD NO.					
A. SENIOR PERSONNEL: PI/PD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)				NSF Funded Person-months		Funds Requested By proposer		Funds granted by NSF (if different)	
				CAL	ACAD	SUMR			
1.	<b>Matthew J Wooller - PI</b>			1.00	0.00	0.00	\$	8,524	\$
2.									
3.									
4.									
5.									
6.	( 0 ) OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)			0.00	0.00	0.00		0	
7.	( 1 ) TOTAL SENIOR PERSONNEL (1 - 6)			1.00	0.00	0.00		8,524	
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)									
1.	( 0 ) POST DOCTORAL SCHOLARS			0.00	0.00	0.00		0	
2.	( 0 ) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)			0.00	0.00	0.00		0	
3.	( 1 ) GRADUATE STUDENTS								
4.	( 0 ) UNDERGRADUATE STUDENTS							16,430	
5.	( 0 ) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)							0	
6.	( 0 ) OTHER							0	
TOTAL SALARIES AND WAGES (A + B)								24,954	
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)								2,736	
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)								27,690	
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)									
TOTAL EQUIPMENT								0	
E. TRAVEL								0	
1. DOMESTIC (INCL. CANADA, MEXICO AND U.S. POSSESSIONS)								0	
2. FOREIGN								0	
F. PARTICIPANT SUPPORT COSTS									
1.	STIPENDS	\$	0						
2.	TRAVEL		0						
3.	SUBSISTENCE		0						
4.	OTHER		0						
TOTAL NUMBER OF PARTICIPANTS ( 0 )									
TOTAL PARTICIPANT COSTS								0	
G. OTHER DIRECT COSTS									
1. MATERIALS AND SUPPLIES								500	
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION								0	
3. CONSULTANT SERVICES								0	
4. COMPUTER SERVICES								0	
5. SUBAWARDS								0	
6. OTHER								0	
TOTAL OTHER DIRECT COSTS								16,821	
H. TOTAL DIRECT COSTS (A THROUGH G)								17,321	
I. INDIRECT COSTS (F&A)(SPECIFY RATE AND BASE)								45,011	
<b>FandA (Rate: 45.1000, Base: 33103)</b>									
TOTAL INDIRECT COSTS (F&A)								14,929	
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)								59,940	
K. RESIDUAL FUNDS								0	
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)								59,940	\$
M. COST SHARING PROPOSED LEVEL \$				0	AGREED LEVEL IF DIFFERENT \$				
PI/PD NAME <b>Matthew J Wooller</b>				FOR NSF USE ONLY					
ORG. REP. NAME* <b>Andrew Parkerson-Gray</b>				INDIRECT COST RATE VERIFICATION					
				Date Checked	Date Of Rate Sheet		Initials - ORG		

**SUMMARY**      YEAR   2    
**PROPOSAL BUDGET**

ORGANIZATION <b>University of Alaska Fairbanks Campus</b>				FOR NSF USE ONLY		
				PROPOSAL NO.	DURATION (months)	
PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR <b>Matthew J Wooller</b>				AWARD NO.	Proposed	Granted
					NSF Funded Person-months	
A. SENIOR PERSONNEL: PI/PI, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)				CAL	ACAD	SUMR
1. <b>Matthew J Wooller - PI</b>				1.00	0.00	0.00
2.						
3.						
4.						
5.						
6. ( <b>0</b> ) OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)				0.00	0.00	0.00
7. ( <b>1</b> ) TOTAL SENIOR PERSONNEL (1 - 6)				1.00	0.00	0.00
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)						
1. ( <b>0</b> ) POST DOCTORAL SCHOLARS				0.00	0.00	0.00
2. ( <b>0</b> ) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)				0.00	0.00	0.00
3. ( <b>1</b> ) GRADUATE STUDENTS						16,430
4. ( <b>0</b> ) UNDERGRADUATE STUDENTS						0
5. ( <b>0</b> ) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)						0
6. ( <b>0</b> ) OTHER						0
TOTAL SALARIES AND WAGES (A + B)						25,338
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)						2,859
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)						28,197
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)						
TOTAL EQUIPMENT						0
E. TRAVEL      1. DOMESTIC (INCL. CANADA, MEXICO AND U.S. POSSESSIONS)						0
2. FOREIGN						0
F. PARTICIPANT SUPPORT COSTS						
1. STIPENDS      \$ _____ <b>0</b>						
2. TRAVEL      _____ <b>0</b>						
3. SUBSISTENCE      _____ <b>0</b>						
4. OTHER      _____ <b>0</b>						
TOTAL NUMBER OF PARTICIPANTS ( <b>0</b> )      TOTAL PARTICIPANT COSTS						0
G. OTHER DIRECT COSTS						
1. MATERIALS AND SUPPLIES						500
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION						0
3. CONSULTANT SERVICES						0
4. COMPUTER SERVICES						0
5. SUBAWARDS						0
6. OTHER						16,766
TOTAL OTHER DIRECT COSTS						17,266
H. TOTAL DIRECT COSTS (A THROUGH G)						45,463
I. INDIRECT COSTS (F&A)(SPECIFY RATE AND BASE) <b>FandA (Rate: 45.1000, Base: 32364)</b>						
TOTAL INDIRECT COSTS (F&A)						14,596
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)						60,059
K. RESIDUAL FUNDS						0
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)						\$ 60,059 \$
M. COST SHARING PROPOSED LEVEL \$ <b>0</b>				AGREED LEVEL IF DIFFERENT \$		
PI/PD NAME <b>Matthew J Wooller</b>				FOR NSF USE ONLY		
ORG. REP. NAME* <b>Andrew Parkerson-Gray</b>				INDIRECT COST RATE VERIFICATION		
		Date Checked	Date Of Rate Sheet	Initials - ORG		

# SUMMARY PROPOSAL BUDGET

Cumulative

ORGANIZATION <b>University of Alaska Fairbanks Campus</b>				FOR NSF USE ONLY		
				PROPOSAL NO.	DURATION (months)	
PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR <b>Matthew J Wooller</b>				AWARD NO.	Proposed	Granted
					NSF Funded Person-months	
A. SENIOR PERSONNEL: PI/PD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)				CAL	ACAD	SUMR
1. <b>Matthew J Wooller - PI</b>				2.00	0.00	0.00
2.						
3.						
4.						
5.						
6. ( ) OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)				0.00	0.00	0.00
7. ( <b>1</b> ) TOTAL SENIOR PERSONNEL (1 - 6)				2.00	0.00	0.00
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)						
1. ( <b>0</b> ) POST DOCTORAL SCHOLARS				0.00	0.00	0.00
2. ( <b>0</b> ) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)				0.00	0.00	0.00
3. ( <b>2</b> ) GRADUATE STUDENTS						
						<b>32,860</b>
4. ( <b>0</b> ) UNDERGRADUATE STUDENTS						<b>0</b>
5. ( <b>0</b> ) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)						<b>0</b>
6. ( <b>0</b> ) OTHER						<b>0</b>
TOTAL SALARIES AND WAGES (A + B)						<b>50,292</b>
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)						<b>5,595</b>
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)						<b>55,887</b>
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)						
TOTAL EQUIPMENT						<b>0</b>
E. TRAVEL 1. DOMESTIC (INCL. CANADA, MEXICO AND U.S. POSSESSIONS)						<b>0</b>
2. FOREIGN						<b>0</b>
F. PARTICIPANT SUPPORT COSTS						
1. STIPENDS \$ _____ <b>0</b>						
2. TRAVEL _____ <b>0</b>						
3. SUBSISTENCE _____ <b>0</b>						
4. OTHER _____ <b>0</b>						
TOTAL NUMBER OF PARTICIPANTS ( <b>0</b> ) TOTAL PARTICIPANT COSTS						<b>0</b>
G. OTHER DIRECT COSTS						
1. MATERIALS AND SUPPLIES						<b>1,000</b>
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION						<b>0</b>
3. CONSULTANT SERVICES						<b>0</b>
4. COMPUTER SERVICES						<b>0</b>
5. SUBAWARDS						<b>0</b>
6. OTHER						<b>33,587</b>
TOTAL OTHER DIRECT COSTS						<b>34,587</b>
H. TOTAL DIRECT COSTS (A THROUGH G)						<b>90,474</b>
I. INDIRECT COSTS (F&A)(SPECIFY RATE AND BASE)						
TOTAL INDIRECT COSTS (F&A)						<b>29,525</b>
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)						<b>119,999</b>
K. RESIDUAL FUNDS						<b>0</b>
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)						<b>\$ 119,999 \$</b>
M. COST SHARING PROPOSED LEVEL \$ <b>0</b>				AGREED LEVEL IF DIFFERENT \$		
PI/PD NAME <b>Matthew J Wooller</b>				FOR NSF USE ONLY		
				INDIRECT COST RATE VERIFICATION		
ORG. REP. NAME* <b>Andrew Parkerson-Gray</b>				Date Checked	Date Of Rate Sheet	Initials - ORG

C \*ELECTRONIC SIGNATURES REQUIRED FOR REVISED BUDGET

**Budget Justification**  
**Matthew John Wooller (University of Alaska Fairbanks)**

***Other NSF Funding***

Matthew Wooller has one currently funded NSF project: "Collaborative Research: Mangrove Paleoecological Responses during Holocene Sea Level Changes," which he has funding for 1 month (173.33 hours) of salary for 3 years; this project is nearing completion and Dr. Wooller has no more salary on this project. Dr. Wooller currently has three proposals pending with NSF: "The Seasonal Contribution of Algal Fatty Acids to the Arctic Marine System," which he has requested 1.5 months of salary per year for 2 years; "Cycling Methane-Derived Carbon in Thermokarst Lake Ecosystems and its relationships to Climate Change," which he has requested .8 months of salary per year for 4 years; and "Collaborative research: Understanding the role of environmental change on the long-term population dynamics of one surviving and two extinct arctic mammals," which Dr. Wooller has 0.3 months of salary per year. Dr. Wooller is 12-month research faculty.

***Relation to on-going projects***

Wooller is currently funded by a new DOE project to develop proxy climate records from several lakes on the north slope of Alaska. This includes Lake Qalluuraq that is included in the current proposal. Funding through this NSF proposal will expand the new DOE project by increasing the temporal resolution at the site and provide the necessary funds to support the personnel time (i.e. a master student) needed to complete these higher resolution analyses. DOE funded temporal resolution is low ( $\geq$  millennial). Support is requested to support a Masters level student's high-resolution analyses of a new sediment core to be collected from Lake Qalluuraq. A preliminary core was taken by Wooller et al. in spring 2008 using a piston corer from the site to establish the basal age ( $>8ka$  based on a radio carbon age) of the lake and the depth of sediment available for analyses. A new core will be obtained from the site to dedicate to high-resolution analyses as part of this new proposal. The cost of acquiring the new core from the lake will be covered by Wooller's already funded DOE project, which translates into a large saving to this current NSF project.

***A. Senior Personnel***

One month of summer salary (173.33 hours) is requested for the PI for each year of the project. The PI will lead the fieldwork, oversee analyses of the sediment core from the lake, advise the Masters student, and write up the results. Per UAF policy, faculty receive leave benefits at a rate of 1.5%, calculated on salary. *Total cost to Project: \$17,432.*

***B. Other Personnel***

Funds are requested for three semesters of academic-year support for each of a graduate student. The student will focus on analyses of Lake Qalluuraq for his/her thesis. The student will be responsible for processing lake sediment samples for analyses. Students work up to 20 hours per week during the academic year (760) and up to 40 hours per week during the summer (560), for a total of 1320 hours. *Total cost to project: \$32,860.*

***C. Fringe Benefits***

Benefits are applied according to UAF's benefit rates for FY09, which are negotiated with the Office of Naval Research (ONR) annually. Rates are 32.1% for senior salaries, 48.7% for staff, and 7.9% for graduate and undergraduate students (summers only).

*Total cost to Project: \$5,595*

### **E. Travel**

No funds for travel are requested, as fieldwork will be covered by funds from Wooller's existing DOE project.

### **G. Other Direct Costs**

*Oxygen isotope analyses of chironomids:* The core from Lake Qalluuraq will be analyzed at ~ 1 cm intervals, which translates into ~ 300 samples. These analyses will be conducted at the Alaska Stable Isotope Facility, which is a fee for service recharge center at the University of Alaska Fairbanks. The cost of analyses is set annually in a rate proposal, which is on record and available on request. The price per sample (\$20) includes expendable supplies only (chemicals, vials, tubes, pipettes, and other labware). Sufficient funds are requested to include some replicate analyses. Labor costs are included in student wages and graduate student stipend

*Geochronology.* The cost of AMS radiocarbon analyses will be covered through the central fund held by PI S. Lehman (U Colorado). Additional analyses may be available, depending on the needs of other collaborators (see Budget Justification of collaborative PI, S. Lehman for description of radiocarbon budget and allocation of analyses). *Total funds requested for analyses: \$6,538.*

*Materials and Supplies.* A total of \$1,000 is requested for general lab supplies.

**Student Tuition and Health Insurance.** UAF requires that any graduate student supported by a research project over the course of the academic year also receive tuition support and health insurance costs for the life of the project. Costs in Year 1 are \$11,908 (tuition) and \$486 (insurance) per semester per student, and costs increases by 10% annually, for a *total of \$27,049.*

### **Indirect Costs**

Facilities and Administrative (F&A) Costs are negotiated with the Office of Naval Research and for research are calculated at 45.1% of the Modified Total Direct Costs (MTDC). MTDC includes Total Direct Costs minus tuition and other student support, subaward amounts over \$25,000, participant support costs, and equipment. A copy of the agreement is available at: [http://www.alaska.edu/controller/cost-analysis/negotiated\\_agreements.html](http://www.alaska.edu/controller/cost-analysis/negotiated_agreements.html)

*Total Indirect Cost of Project: \$29,525.*

## University of Alaska

Subject of RPL: Collaborative Research: The Changing Seasonality of Tundra Nutrient Cycling: Implications for Ecosystem and Arctic System Functioning	ADN/RPL #: 45-0-1117
Amount Requested: \$225,072	Appropriation Authority: Sec. 4, Ch. 17, SLA 2009, Page 9, Lines 12-16
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 14.40.40

### **PURPOSE**

The requested federal stimulus receipt authority will allow the University of Alaska Anchorage to accept a National Science Foundation award for a project entitled: " Collaborative Research: The Changing Seasonality of Tundra Nutrient Cycling: Implications for Ecosystem and Arctic System Functioning ".

This award is federally funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated April, 2009.

### **PREVIOUS LEGISLATIVE CONSIDERATION**

This project has not previously been considered. This is a new multi-year federal award that is effective September 1, 2009 and expires August 31, 2012. The award was issued on July 9, 2009 and was not requested as part of the University's budget.

### **TIMING ISSUES**

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority is not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009. Proposal No. ARC-0902184 was submitted , but not approved until the additional National Science Foundation funding thru ARRA became available.

### **BUDGETARY ISSUES**

This project is directly aligned with the University of Alaska's long term plans and mission: "The mission of the University of Alaska Anchorage is to discover and disseminate knowledge through teaching, research, engagement, and creative expression."

No State General Funds will be used, nor is any match required. The federal stimulus funds will be expended between FY10-FY13. An indirect cost is being charged to the award to cover the administrative cost of the program.

The total amount of the award is \$225,072. This request adds an additional \$225,072 to the University's existing federal economic stimulus authority for competitive, discretionary, and incentive grants capital project appropriation contained within Sec. 4, Ch. 17, SLA 2009.

A copy of the award letter for Award No. ARC-0902184 is attached, along with the budget document detailing expenditures for the life of the grant and an executive summary of the project.

Agency Contact: Michelle Rizk, (907) 450-8187

OMB Approved: \_\_\_\_\_ Date: \_\_\_\_\_

*Accepted 7/9/09*  
*KW*

Return to Award Documer

# National Science Foundation

4201 WILSON BOULEVARD, ARLINGTON, VIRGINIA 22230

Award Date: July 9, 2009  
Award No. ARC-0902184  
Proposal No. ARC-0902184

Dr. Robert G. White  
V.P. for Graduate Studies and Research Council  
University of Alaska, Anchorage  
3211 PROVIDENCE DRIVE  
ANCHORAGE, AK 99508-4614

Dear Dr. White:

The National Science Foundation hereby awards a grant of \$225,072 to University of Alaska, Anchorage for support of the project described in the proposal referenced above.

This project, entitled "Collaborative Research: The Changing Seasonality of Tundra Nutrient Cycling: Implications for Ecosystem and Arctic System Functioning," is under the direction of Patrick F. Sullivan, in collaboration with the following proposals

Proposal No:	PI Name/Institution	
0902102	Rastetter, Marine Biological Laboratory	Edward B.
0902030	Heidmarie . Steltzer, Colorado State University	
0902038	Schimel, University of California, Santa Barbara	Joshua P.
0902096	N. Weintraub, The University of Toledo	Michael

This award is effective September 1 , 2009 and expires August 31, 2012.

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:

[http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=arra0509](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509)

REC

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is also subject to Research Terms and Conditions (RTC, dated July 2008) and NSF RTC Agency Specific Requirements (dated July 2008) available at <http://www.nsf.gov/awards/managing/rtc.jsp> and the following terms and conditions:

The provisions of NSF 08-567, "Changing Seasonality in the Arctic System" are applicable to this award.

The Director of the Office of Polar Programs has established Guidelines and Award Conditions for OPP Scientific Data effective in FY-99. The full document is available on the OPP webpages at:  
(<http://www.nsf.gov/pubs/1999/opp991/opp991.txt>).

Principal Investigators of OPP awards should make their data available to all reasonable requests. Where applicable, the Principal Investigators should submit the data collected to designated data centers as soon as possible, but no later than two (2) years after the data are collected. For continuing observations, data inventories should be submitted periodically if and when there is a significant change in location, type or frequency of such observations.

Principal Investigators of OPP-funded awards are REQUIRED to submit to appropriate electronic data directories, a description of their data (i.e., metadata) resulting from OPP-funded research in the form of a Directory Interchange Format (DIF) entry. Submission of the DIF may be at any time during the tenure of the grant. At the time of submission of the Final Report to NSF, a copy of the DIF must be sent to the cognizant program official in OPP.

For OPP-supported Antarctic projects, DIF submission should be to the Antarctic Master Directory, via the USAP Data Coordination Center (<http://www.usap-data.org/>). For OPP-supported Arctic projects, DIF submission should be to the Arctic System Science Data Coordination Center at <http://arcss.colorado.edu>.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

Please view the project reporting requirements for this award at the following web address  
[<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=0902184>].

The cognizant NSF program official for this grant is Neil R. Swanberg, (703) 292-8029.

The cognizant NSF grants official contact is Maria Valerio, (703) 292-4832.

Sincerely,

John C. Robey  
Grants and Agreements Officer

CFDA No. 47.082  
anrgwl@uaa.alaska.edu

□

ARC-0902184  
000

### SUMMARY PROPOSAL BUDGET Award No. 0902184

Person MOS	cal	acad	sumr	Funds granted By NSF
A. (1.00) Total Senior personnel	9.00	0.00	0.00	\$68,777
B. Other Personnel				
1. (0.00) Post Doctoral associates	0.00	0.00	0.00	\$0
2. (0.00) Other professionals	0.00	0.00	0.00	\$0
3. (3.00) Graduate students				\$62,640
4. (0.00) Secretarial-clerical				\$0
5. (0.00) Undergraduate students				\$0
6. (0.00) Other				\$0
Total salaries and wages (A+B)				\$131,417
C. Fringe benefits (if charged as direct cost)				\$35,475
Total salaries wages and fringes (A+B+C)				\$166,892
D. Total permanent equipment				\$34,200
E. Travel				
1. Domestic				\$5,144
2. Foreign				\$0
F. Total participant support costs				\$0
G. Other direct costs				
1. Materials and supplies				\$7,000
2. Publication costs/page charges				\$1,000
3. Consultant services				\$0
4. Computer (ADPE) services				\$0
5. Subcontracts				\$0
6. Other				\$10,836
Total other direct costs				\$18,836
H. Total direct costs (A through G)				\$225,072
I. Total indirect costs				\$0
J. Total direct and indirect costs (H+I)				\$225,072
K. Residual funds / Small business fee				
1. Residual funds (if for further support of current projects AAG I.D.2 and I.D.3)				\$0
2. Small business fee				\$0
L. Amount of this request (J) or (J-K1+K2)				\$225,072
M. Cost sharing				\$0

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## **NSF Changing Seasonality in the Arctic System Initiative**

### **Collaborative Research: The Changing Seasonality of Tundra Nutrient Cycling: Implications for Ecosystem and Arctic System Functioning**

M. Weintraub, *University of Toledo*, J. Schimel *University of California Santa Barbara*, P. Sullivan, *University of Alaska Anchorage*, H. Steltzer and M. Wallenstien, *Colorado State University*

#### **Summary:**

This project proposes to use field experiments, laboratory incubations and ecosystem models to investigate the causes and consequences of the seasonality of N availability to plants in tussock tundra on the North Slope of Alaska. Nutrients are the key to understanding tundra soil processes, and their larger influences. Tundra soils are perhaps the most nitrogen limited environments on the planet—not only is plant growth strongly N limited, but decomposition is strongly N limited as well. While other ecosystems show some evidence of microbial N limitation, nowhere is it as obvious as in the tundra.

The challenge is that N availability is strongly seasonal in its patterns. N is relatively available early in the growing season in tussock tundra soils, but it drops abruptly in the middle of the season. This pattern indicates that tussock tundra soils are not always N limited, and that ecosystem processes, such as C exchange, are limited by other factors, such as C availability, early in the growing season. However, current predictions of the responses of tussock tundra ecosystems to elevated CO<sub>2</sub> and climate change assume that N is always limiting. Because N is actually available early in the growing season, though, ecosystem processes must be controlled by another factor, likely C availability, at this time of year, and then switch into an N limited mode after the crash in N availability. The seasonality of N-limitation is likely to affect how ecosystem processes such as C exchange, respond to changes in climate. This is because soil microbes, which control decomposition and soil CO<sub>2</sub> efflux, are likely to respond differently to changes in climate depending on what is limiting their activity. We need to understand the seasonality of nutrient availability in order to predict arctic ecosystem responses to climate change, but we are left with multiple questions about controls on the seasonality of nutrient availability, implications for ecosystem function and relationships between tussock tundra and the greater Arctic System