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**INSTRUCTIONS FOR PREPARATION OF PROPOSALS**

**OCEANOGRAPHIC CENTERS AND FACILITIES SECTION**

**DIVISION OF OCEAN SCIENCES**

**NATIONAL SCIENCE FOUNDATION**

This document provides instructions for the preparation of proposals requesting support from the Oceanographic Centers and Facilities Section of the National Science Foundation, Division of Ocean Sciences, for the following areas:

• SHIP OPERATIONS

• TECHNICAL SERVICES

• OCEANOGRAPHIC INSTRUMENTATION

• SHIPBOARD SCIENTIFIC SUPPORT EQUIPMENT

• SHIP CONSTRUCTION, CONVERSION OR UPGRADE

• MISCELLANEOUS

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8/94 version

**GENERAL INFORMATION**

**Introduction**

The National Science Foundation's Division of Ocean Sciences makes awards for the operation, acquisition, construction, conversion and upgrade of oceanographic facilities through Oceanographic Centers and Facilities Section (OCFS) programs. Oceanographic facilities include those required for near-shore, Great Lakes, and estuarine research as well as open-ocean platforms. Support has been provided for such diverse facilities as ships and boats, aircraft, submersibles, buoys, environmental simulation units, shipboard equipment and related shore-based research instrumentation.

Awards under this program are directed principally to the support of large, costly facilities that lend themselves to shared usage. Many of these facilities also receive partial support from other Federal agencies, State and local governments, and private sources. The National Science Foundation encourages such broad-based funding wherever possible; however, there is no fixed cost-sharing requirement for funds from non-Federal sources.

The primary objective of OCFS awards is to ensure the availability of appropriate facilities to investigators supported by NSF research programs. More broadly, these facilities have been developed by the University-National Oceanographic Laboratory System (UNOLS), an association of ship operating institutions. However, UNOLS membership is not a prerequisite for NSF support.

**Eligibility**

OCFS support for major facilities is concentrated at a limited number of institutions that are suitably located and have the logistic capability to carry out operations in support of ocean science research. These facility-operator institutions have in-house research programs and also provide facilities support for research programs of other institutions. Operator institutions may include colleges and universities, nonprofit research institutions, and associations of colleges and universities.

To qualify for an OCFS award, an institution must have a substantial in-house ocean science research program. Further, it must demonstrate the logistic capability to operate the facility effectively and economically, and the willingness and procedures to make it available to qualified researchers from other parts of the oceanographic community. Finally, it must show that the proposed facility fulfills research requirements not presently met.

**Nature and Duration of Awards**

Support is provided through grants, cooperative agreements, or contracts, depending upon the nature, costs, and duration of the project. Most equipment and instrumentation awards are in the form of grants of two years duration. Ship operations, marine technician and other facility support awards are often for two or three years duration. Usually they are made as continuing grants funded year by year.

**Proposal Submission Information**

**General**

NSF proposal format and requirements are specified in the latest revision of *Grant Proposal Guide* (GPG) (NSF 94-2) which is available upon request from NSF Publications. Revisions of NSF 94-2 are frequent; investigators should make sure they are using the most up-to-date guidelines. The general provisions of this brochure apply to Oceanographic Centers and Facilities Section (OCFS) programs except as modified by these instructions for OCFS proposal preparation. OCFS proposals are exempt from the GPG's 15 page limit.

The requirements included in these instructions are addressed primarily to the Project Description or main body of the proposals. Essential forms which must be submitted as part of any proposal can be found in NSF 94-2, or "Proposal Forms Kit" (NSF 94-3).

**Proposal Deadlines and (Number of Copies)**

Ship Operations Oct. 1 ( 6)

Technical Services Oct. 1 (10)

Oceanographic Instrumentation Sept. 1 (10)

Shipboard Scientific Support

Equipment Sept. 1 (10)

Ship Construction, Conversion

or Upgrade Contact Program (15)

Miscellaneous Contact Program (15)

The required copies of each new proposal, including the signed original, should be sent in a single package to:

Announcement No. NSF 94-XX

National Science Foundation, PPU

4201 Wilson Blvd. Room P60

Arlington, VA 22230

**Proposal Format**

Each proposal includes:

• *Information about Principal Investigators/Project Directors*, NSF Form 1225 (1/90). A single copy of Form 1225 must be submitted with each proposal set sent to the Foundation. It must be received before proposal review will be initiated.

• *Cover Sheet*, NSF Form 1207 (1/94). Failure to include this form can cause considerable delay in proposal processing. Signatures of the Project Directors (PDs) and the Authorized Institutional Representative are required.

• *Table of Contents*, NSF Form 1359 (1/94).

• *Project Summary*, NSF Form 1358 (1/94). The proposal must contain a summary of the proposed activity that is no more than one page in length.

• *Project Description*. This is the main body of the proposal. See individual programs in this brochure for format and content.

• *Budget*, NSF Form 1030 (1/94). Follow instructions on the back. Include only the NSF portion of the request.

• *Biographical Sketch of PD and Co-PDs*, NSF Form 1362 (1/94). Limit to vital information on publications, education and positions. Do not exceed 2 pages per person.

• *Statement of Current and Pending Support*, NSF Form 1239 (1/94) or equivalent.

**Relationship to Other NSF Programs**

OCFS awards are generally limited to support for shared-used facilities. Equipment or other facility requirements generated by a single research project should be included as an integral part of the scientific funding request for that project. Prospective principal investigators seeking scientific support should refer to the *NSF Guide to Programs* NSF (94-91) or the program descriptions of the National Science Foundation.

All proposals for scientific support in ocean sciences and related fields that request support for research ship time should include NSF/UNOLS Form 831, "Requirements for Research Vessel Use." This form serves several purposes:

• It identifies for Program staff and reviewers projects that involve or do not involve field work on research vessels.

• Assists with ship scheduling process.

• It enables OCFS to predict and plan for requirements.

• In cases in which an investigator has not secured ship time, it serves as advance notice to the UNOLS office of the need to make appropriate arrangements.

NSF/UNOLS Form 831 can be obtained from OCFS, the UNOLS office, or reproduced from Appendix A of this brochure. Any Investigator who needs assistance in requesting ship time or scheduling the use of other oceanographic facilities should contact the Executive Secretary of UNOLS at the following address:

Mr. John F. Bash

UNOLS Office

P.O Box 392

Saunderstown, RI 02874

Telephone: (401) 792-6211

Fax: (401) 792-6486

**Release of Grantee Proposal Information**

A proposal that results in an NSF grant becomes part of the record of the transaction and will be available to the public except for portions of proposals described below.

Any separate salary schedule bearing the legend cited below will be considered confidential and withheld from release to the extent permitted by law. Without assuming any liability for inadvertent disclosure, NSF will seek to limit dissemination of such information to its employees and, when necessary for evaluation of the proposal, to outside reviewers. Accordingly, any privileged information should be in a separate, accompanying statement bearing a legend similar to the following: "Following is (proprietary) (specify) information that (name of proposing organization) requests not be released to persons outside the Government, except for purposes of evaluation."

A proposal that does not result in an NSF grant will be retained by the Foundation but will be released to the public only with the consent of the proposer or to the extent required by law.

**Administration of Awards**

Because of the diversity of programs sponsored by OCFS, it is difficult to generalize about provisions for the administration of awards. Charter party agreements, contracts, or cooperative agreements, usually specify requirements for administration, reporting, and monitoring.

Grants are administered in accord with the terms and conditions of NSF, Grant General Conditions, copies of which may be requested from the NSF Forms and Publications Unit. [ More comprehensive information is contained in the *NSF Grant Policy Manual* (Revised), NSF 88-47. available through the Superintendent of Documents, Government Printing Office, Washington, DC 20402. ]

It should be noted that some awards from the Oceanographic Centers and Facilities Section exclude some provisions of the Grant General Conditions, GC-1 (5/94): Article 5, Expenditures for Related Projects; Article 7, Equipment; and Article 11, Rearrangements and Alterations. Institutions covered by the Federal Demonstration Project General Terms and Conditions, FDP-II, (2/94) should note exclusion of Article 3, Programs of Related Projects; Article 15, Equipment and Real Property, and Article 16, Alteration and Renovation.

Notification of award is made in writing by the Foundation's Grants Officer. Organizations whose

proposals are unsuccessful will be advised as

promptly as possible. After final decisions have been announced, the Foundation will provide the reasons for its decision on a proposal. Verbatim copies of reviews, not including the identity of the reviewer, will be made available to respective project directors automatically.

**Project Direction**

For most OCFS awards, responsibility for general project oversight is vested in a Project Director (PD), named in the award letter. Operating within the policies of his or her parent institution, the PD is responsible for technical direction of the project, overall compliance with the provisions of the award, and preparation of required technical reports. Written prior approval from the NSF Grants Officer Foundation consent is required for a change in designation of Project Director, or for a significant change in the level of effort of a previously approved PD.

The term Principal Investigator (PI), as used in this brochure, refers to scientists responsible for the direction of a research project and should not be confused with the Project Director (PD) of an OCFS grant.

**Reports**

Detailed reporting requirements are generally set forth in OCFS contracts and cooperative agreements. For grants, reporting requirements are given in the *NSF Grant Policy Manual*, Sec. 670.

Ship operating institutions must comply with prevailing requirements for the submission of cruise prospectuses, international clearance requests, post-cruise reports (see Appendix B) and final project reports (NSF Form 98A).

**For Further Information**

For further information regarding OCFS programs, write or call:

Oceanographic Centers and Facilities Section

National Science Foundation

Room 725

4201 Wilson Blvd.

Arlington, VA 22230

Telephone: (703) 306-1576

Fax: (703) 306-0390

**SHIP OPERATIONS**

**Purpose**

Ship Operations awards provide support for direct and indirect costs arising from the actual maintenance and operation of research vessels. Allowable costs include salaries and related expenses of crew members and marine operations staff; acquisition of minor or expendable equipment; maintenance, overhaul and repair; insurance; and direct operating costs such as fuel, food, supplies, and pilot and agent fees. Shore facilities costs are provided only to the extent that they relate directly to the ship operation. Budgets should be in accord with standard definitions of operating days, sea days, maintenance days, and days out of service. See Appendix C for definitions. Support for shipboard technicians and for purchases of major equipment must be sought separately [see pages 15, 27 and 35].

**Content**

Proposals from many institutions are evaluated concurrently. Accordingly, it is important that information from all applicants be similarly arranged and presented. Formats and instructions are provided in the following pages for each of the required sections. Institutions which have not previously received NSF ship operations support may not be able to provide data exactly as prescribed. In such cases, estimates and approximations are acceptable. The ship operating year is the calendar year, January through December. In some sections of the proposal, institutions are asked to provide information on 4 calendar years' operations: two years past, the past year, the current year, and the next year. The "next year" is the award year (the operating year covered by the proposal). Thus, for example, proposals for Calendar Year 199(X) operations would be due on 1 Oct 199(X-1). Those proposals would give actual figures for 199(X-3) operations ("two years past"); 199(X-2) operations ("the past year"); a combination of actual figures to date and estimates for the rest of 199(X-1) ("current year"); and estimates for the 199(X) operating year ("next year").

It is requested that the name of the institution be included as a heading on each page. This makes it possible to remove key sections (budget, Table 1, etc.) for re-binding with data from other institutions for comparative review. If there are aspects of operations which cannot be adequately treated in the prescribed format, use an optional Section 8a to provide additional comment or documentation.

Institutions which have sold, laid up, or replaced a supported ship, or which intend to do so, should continue to include project and budget data in the appropriate sections of the proposal for the period the ship operated.

**Evaluation Criteria**

The main criteria (of equal weight) used in the evaluation of ship operation proposals are:

• The amount of scientific utilization of the ship, particularly by Foundation-supported investigators;

• The logistic and managerial capability of the proposing institution; and

• The configuration, capability and operating costs of the vessel(s).

**Proposal Format**

Each proposal includes:

• *Information about PDs*, NSF Form 1225. A single copy per proposal set.

• *Cover Sheet* NSF Form 1207 must be included. Use "Ship Operations" for NSF ORGANIZATION UNIT and "NSF 94‑XX" for PROGRAM ANNOUNCEMENT. Under Proposal Duration please enter: Year One of Three, Year Two of Three, or Year Three of Three, as appropriate.

• *Table of Contents*, NSF Form 1359

EACH OF THE FOLLOWING SECTIONS SHOULD START ON A NEW PAGE

• *Section 1. Project Summary*, NSF Form 1358

• *Section 2 Description of Vessel(s)*

• *Section 3. Ship Operating Schedules with Cruise Tracks*

• *Section 4. NSF Projects Requesting Ship Time in Next CY*

• *Section 5. Table 1, Ship Time Costs per Project*

*Table 1 A. Past CY*

*Table 1 B. Current CY*

*Table 1 C. Next CY*

• *Section 6. Institution Personnel Data*

• *Section 7. Detailed 4 Year Ship Budgets*

*A. R/V (NAME)*

*B. R/V (NAME)*

*repeat for each ship*

• *Section 8. Elaboration of Proposed Budget*

• *Section 9. Cumulative Summary Budget*

• *Summary Proposal Budget*, NSF Form 1030

• *Biographical Sketch of PD and Co-PDs*

• *Statement of Current and Pending Support*,NSF Form 1239

• *PROOF-OF-INSURANCE*

(New Page)

(Name of Institution)

**Section 1**

**Project Summary**

Provide a brief description (200-250 words) of the overall ship operations projected during the proposed award year. Do not use this section for description of ship(s) or for general descriptions of institutional structure. The NSF Form 1358 may be used for this section.

(New Page)

(Name of Institution)

**Section 2**

**DESCRIPTION OF VESSEL\***

**R/V (NAME)**

BUILT/CONVERTED: (year) SPEED: (knots)

CRUISING:

LENGTH: (length over all) FULL:

MINIMUM:

BEAM: (extreme)

ENDURANCE: (days, limiting factor)

DRAFT: (max)

RANGE: (days, limiting factor)

GROSS TONNAGE: (tons)

FUEL CAPACITY: (gals)

DISPLACEMENT: (long tons)

LABORATORIES: (sq.ft.)

CREW: (number) MAIN:

WET:

SCIENTIFIC PERSONNEL: (number) DRY:

MAIN ENGINE(S): (hp) SEWAGE SYSTEM:

MSD:(gal/day)

BOW THRUSTER: (hp) HOLDING TANK:(gal)

SHIP'S SERVICE GENERATOR(S): (kw) INCINERATOR: (lbs/day)

PROPELLER(S): (number and type) DOCUMENT/STATE I.D.#

OWNERSHIP: Title held by

Nature of operating arrangement, if title held by other than institution

Add a narrative description of the ship emphasizing the scientific capabilities. This section should briefly define the capabilities of the ship including special capabilities such as communications, navigation, winches and major support equipment. Include a brief explanation of future planned upgrade/refit of the ship or major equipment systems. Do not exceed two pages total for each ship.

**\*** Repeat for each vessel operated by the institution.

(New Page)

(Name of Institution)

**Section 3**

**SHIP OPERATING SCHEDULES**

**W/CRUISE TRACKS FOR CURRENT AND NEXT CY**

**R/V (NAME)**

Schedule should be in **approved UNOLS** format, with a **summary** of operating days by agency.

It is not necessary to include tracks for vessels under 100 feet.

Cruise tracks for vessels over 100 feet should be disclosed on a world chart. See Appendix D.

Transits may be broken out or included in individual cruises.

Cruise Map Index\*/Area P.I./ Institution Ports Days/Agency

Dates Purpose Proposal number Status

\* See Appendix A for Map Index codes.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**SUMMARY (EXAMPLE)**

|  |  |  |  |
| --- | --- | --- | --- |
| Agency | Pending | Funded | Total |
| NSF | 10 | 100 | 110 |
| ONR | 0 | 30 | 30 |
| DOE | 2 | 20 | 22 |
| State | 5 | 5 | 10 |
| Total | 17 | 155 | 172 |

(New Page)

(Name of Institution)

**Section 4**

**LIST OF NSF PROJECTS REQUESTING SHIP TIME IN NEXT CY**

Name of Principal Project NSF Grant or Effective Total Award Ship

Investigator (PI) Title Proposal No. Dates or Request Requested

**Active Awards**

List only funded awards which will require ship time in next CY. If a renewal has been or will be requested mark the grant number with an asterisk ( \* ). **The grant number and project title are important in identifying proposed ship time and must be accurate and complete.**

Grants should be listed for:

• PIs from your institution who intend to use your ship(s)

• PIs from other institutions who intend to use your ship(s)

**Proposals under Review**

List proposals which have been submitted to NSF for review. List only those projects that would require ship time in the next CY operating period. **The proposal number and title must be accurate and complete to assure proper identification of pending projects**.

**Proposals to be submitted**

Since proposals still in preparation have no identifying NSF number, provide PI's name, complete project title, and other information in fullest possible form.

**Each project appearing on the Section 3 schedules for the next CY or listed in Section 5, Table 1C of this proposal should be listed in Section 4. These 3 sections should agree with one another.**

(New Page)

(Name of Institution)

**Section 5**

**SHIP TIME COST PER PROJECT TABLES**

**GENERAL INSTRUCTIONS**

Table 1 is one of the most important elements of the proposal and must be complete and accurate. The purpose of Table 1 data is to relate ship costs to research projects. In the review of the proposal, it is important to know how ship operations funds are used in support of specific projects. This includes the past completed operating year, the current year and the proposed operating year for ship time supported by NSF or other agencies. Section 3 (Ship Operating Schedule), Section 5 (Ship time Cost Per Project) and Section 7 (Detailed Budget) must be internally consistent.

Because of the complexity of Table 1, both a general format and a sample are provided. Please organize your submission exactly as indicated.

Three Table 1's are required:

• Table 1A-Ship time costs per project for CY-199(X-2). This table is for the past year and should show actual use and cost.

• Table 1B-Ship time costs per project for CY-199(X-1). This table is for the current CY and is a

combination of operations to date and estimated use and cost for the remainder of the year.

• Table 1C-Ship time costs per project for CY-199(X). This table is for the proposed operating year and is

an estimate of use and cost.

In Table 1A and 1B **the NSF section must include the total NSF ship operations award for that CY as shown in the format example.**

Transits to the area of operations may be included in the projected program days or shown separately.

Shipyard transits or sea trials should not be shown as operating days. The costs of these days should be rolled into the cost of operation as part of the cost/day and charged to all users.

(BASIC FORMAT FOR ALL TABLE 1'S)

(SEE SAMPLE ON NEXT PAGE)

(Name of Institution)

**Section 5**

**TABLE 1 (A, B OR C)**

**SHIP TIME COSTS PER PROJECT CY 19\_ \_**

Actual/Estimated

Annual Name Name costs of Ship time

Research of Ship of Ship \* per Grant

Project Identification Support (Daily Rate) (Daily Rate) or Contract \*\*

**Project performed using**

**NSF-supported ship time:**

**NSF Projects:**

Grant/contract No., PI's

Name, PI's Institution (if #(Operating #(Operating

other than your own) Days) Days)

Research support \*\*\* ................... $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_ $\_\_\_\_\_\_\_\_\_\_

Total NSF ................................ $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_ $\_\_\_\_\_\_\_\_\_\_

**Total NSF Ship Operations Award** (Table 1A and 1B only) $\_\_\_\_\_\_\_\_\_\_

**Projects performed using**

**(agency)-supported**

**ship time** \*\*\*\*

Total (agency) ............................................ # # $\_\_\_\_\_\_\_\_\_\_

**Summary Totals:**

**Projects performed with** #(Operating #(Operating

**ship time supported by:** Days) Days)

NSF .......................................... $\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_ $\_\_\_\_\_\_\_\_\_\_

Agency A ................................... $\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_ $\_\_\_\_\_\_\_\_\_\_

Agency B ................................... $\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_ $\_\_\_\_\_\_\_\_\_\_

Agency C ................................... $\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_ $\_\_\_\_\_\_\_\_\_\_

etc.\*\*\*\* ..................................... $\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_ $\_\_\_\_\_\_\_\_\_\_

Total ........................................... $\_\_\_\_\_\_\_\_\_\_ # # $\_\_\_\_\_\_\_\_\_\_

\*Additional column each ship.

\*\*Actual cost for Table 1A; estimated costs for Table 1B and 1C.

\*\*\*Annual project support rate. Indicate with an asterisk those projects for which final approval has not been received.

\*\*\*\*Repeat for each agency providing ship support: e.g., ONR. USGS, State government, university, or private sources.

SAMPLE DATA

Oceanic University

**Section 5**

**TABLE 1 C**

**SHIP TIME COSTS PER PROJECT CY 19\_ \_**

Estimated Costs

Annual R/V R/V of Ship time

Research Mars Jupiter per Grant or

Project Identification Support $6,200 $7,600 Contract

**Project to be performed using**

**NSF-supported ship time:**

OCE90-14126 R. Smith ........ $,172,000 -- 10 $76,000

OCE90-24695 F. Jones ........ 97,000 15 -- 93,000

\*DEB90-04629 L. Cox ....... 212,000 21 -- 130,200

OCE90-09648 J. James ........ 51,000 7 -- 43,000

OCE90-19731 R. Thomas ....... 196,000 -- 28 212,800

OCE90-26835 T. Rogers ....... 153,000 21 -- 130,200

OCE90-06429 R. Andrews ...... 173,000 -- 24 182,400

OCE90-11417 R. Anawalt ...... 367,000 -- 51 387,600

\*OCE90-10049 J. Simpson ..... 104,000 17 -- 105,400

\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_

Total NSF .............. $1,525,000 81 113 $1,361,000

**Projects performed using**

**ONR supported ship time:**

N0014-90-C-0073 R. Williams.... $183,000 20 -- $124,000

N0014-90-C-0124 T. Welch....... 270,000 -- 36 273,000

\*N0014-90-C-0057 N. Hecker..... 445,000 10 20 373,000

\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_

Total ONR .............. $898,000 30 56 $771,200

**Projects performed using**

**USGS supported ship time:**

14-08-0001-13579 A. Brooks..... $406,000 -- 60 $456,000

14-08-0001-26514 J. Foerster... 102,000 12 -- 74,400

\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_

Total USGS .............. $508,000 12 60 $530,400

**Projects performed using**

**State supported ship time:**

Student Cruises S. Packard .... -- 30 -- $186,000

Fisheries Research T. Rowe .... 57,000 40 10 324,000

\_\_\_\_\_\_\_\_\_ \_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

Total State ................. $57,000 70 10 $510,000

**Summary Totals:**

**Projects performed with**

**ship time supported by:**

NSF ......................... $1,525,000 81 113 $1,361,000

ONR ......................... 898,000 30 56 771,200

USGS ......................... 508,000 12 60 530,400

State ........................ 57,000 70 10 510,000

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_ \_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Total ...................... $2,988,000 193 293 $3,172,600

\*Proposals for which final approval has not been received.

(New Page)

(Name of Institution)

**Section 6**

**INSTITUTION PERSONNEL DATA**

This section should show **every position** by name for which ship operations provides support. Indicate the % or portion each position is paid from ship operations funds.

Ship and Shore Facility Personnel: names, titles, and salary totals for each category listed below.

A. Officers, Crew and Relief Crew (by ship)

B. Professional and Administrative Marine Operations Staff

C. Other Shore Facility Staff, including any Marine Technicians supported by this award.

D. Indicate any new positions.

**Example**

**Position Name Ship Operations Portion**

A. Officers and Crew (by ship)

R/V LOLLIPOP

Captain Captain Bligh 1.00

First Mate John Pitcarin 1.00

2nd Mate TBD 1.00

Chief Engineer Mark Wrench 1.00

Steward Ernest Cook 1.00

Relief Engineer TBD 0.25

Total FTE \* 5.25

Salaries \*\* $204,982

B. Marine Operations Staff

Marine Manager John Doe .75

Port Captain Sam Smith .50

Port Engineer Ruth Engine .80

Admin. Assist. Sally Short .20

Total FTE \* 2.25

Salaries \*\* $145,000

C. Other Facility Staff

Electronic Tech I Molly Coddler/Joe Cool .50

Marine Facilities Engineer++ Bill Crane .50

Total FTE \* 1.00

Salaries \*\* $46,154

Total Salaries \*\*\* $396,136

Total Ship and Shore Facility Personnel

A. Officers and Crew .................................................. 6

B. Marine Operations Staff............................................. 4

C. Other .............................................................. 3

\*FTE (Full Time Equivalent) - equivalent to one full-time position.

\*\*Salaries - all salaries, including overtime, but not benefits.

\*\*\*Total Salaries for Section 6 should agree with Section 7, 1.A.1 and 2 plus 1.B.& C. 1. and 2.

++ New Position

(New Page)

(Name of Institution)

**Section 7**

**DETAILED 4-YEAR BUDGET \***

Calendar Year

199(X-3) 199(X-2) 199(X-1) 199(X)

Ship Name \*\* Actual Actual Current Plan Estimate

**I. Salaries & Wages:**

A. Ship's Crew:

1. Salaries .......................

2. Overtime .......................

3. Shore Leave ....................

4. Fringe Benefits ................

Total ..........................

B.& C. Marine Operations and Facility Staff:

1. Salaries .......................

2. Overtime .......................

3. Fringe Benefits ................

Total ..........................

**II. Repair, Maintenance & Overhaul:**

A. Normal Maint. & Repair .............

B. Major Overhaul .....................

**III. Other Expenses:**

A. Fuel & Lube Oil ....................

B. Food ...............................

C. Insurance .........................

D. Stores, Minor Equip., & Supplies ...

E. Travel

Domestic .........................

Foreign ..........................

F. Shore Facilities Support

(Incl. utilities) ..................

G. Miscellaneous ......................

Total ..............................

Total Direct Costs .............

**IV. Indirect Costs** .........................

**V. Total Operating Costs** ..................

**VI. Miscellaneous Data:**

A. Number of cruises or legs ..........

B. Operating Days .....................

C. Days at Sea ........................

D. Maintenance Days ...................

E. Days Out of Service ................

F. Daily Rate .........................

G. Date of Last Major Overhaul ........

H. Expected Date of Next

Major Overhaul ...................

\* Same definition of years as used in Table 1.

**\*\* USE SEPARATE PAGE FOR EACH SHIP**

(New Page)

(Name of Institution)

**Section 8**

**ELABORATION OF PROPOSED BUDGET**

Provide a breakout and **explanation** for each of the following items from the 4-Year Ship Budget for the proposed year:

1) Any increase within a line item in excess of 10% over last year.

2) Any increase or change in personnel. Salaries and wages should agree with personnel and costs itemized in Section 6. Give an explanation of what is included in shore leave.

3) Provide details of major overhaul. List items and give a short explanation with estimated cost per item. Narrative should provide comprehensive overview of work plans and major cost items.

4) Provide an explanation of shipyard reserve funds. A brief description of projected ship upgrade/refit to be proposed in the next 3-4 years should be included here or in Section 2.

5) Fuel and Lube Oil - provide consumption rates and price estimates used to compute next years' requirement. Consumption rates should be provided for full speed and average operations in gallons/day. Identity fuel quotes with refueling ports.

6) Insurance - list type of coverage, limit of coverage, and cost for each ship. Insurance coverage must conform to the guidelines set forth in the NSF/ONR "Insurance Policy" letter of March 18, 1993. Current Proof-of-Insurance must be supplied with the proposal and should include limits of coverage, deductible, Broker, expiration date, Underwriter and cost.

7) List items included in III-D, Minor Equipment Items and Costs. List items related to science programs, e.g. regulated power supplies, refrigerator for science materials storage, air conditioner for electronics.

8) Travel - provide details of Foreign travel as required by GPG.

9) List items included in III-F, Shore facility support.

10) List items included in III-G, Miscellaneous costs.

11) Provide an explanation of any crew training planned for the proposed year.

12) Explanation of overhead - how determined, e.g. MTDC vs. % salaries, rates, etc.

13) Any unusual or non-recurring costs in proposed budget. Identify and give explanation of any projected carry-forward of funds from previous years and/or any projected deficits from current operations.

(New Page)

(Name of Institution)

**Section 9**

**CUMULATIVE SUMMARY BUDGET**

**12 MONTH BUDGET**

**Ship Operating Costs**

Estimated costs for R/V(s) (NAMES) for the period:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ to \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Salaries and Wages $

Overtime $

Fringe Benefits $

Other Direct Costs + $

\_\_\_\_\_\_\_\_\_\_

Total Direct Costs $

**Indirect Costs** (\_\_\_\_\_\_\_\_\_\_\_% of\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_) + $

\_\_\_\_\_\_\_\_\_\_

Total Cost $

Less Anticipated Support From

Other Sources \* (itemize below) - $ \*\*

\_\_\_\_\_\_\_\_\_\_

**NSF Portion** $ \*\*

\_\_\_\_\_\_\_\_\_\_\_

\* Itemize other support here:

e.g., ONR $ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

University $ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\*\* The NSF portion and Other support shown here should be the same as Ship Support Cost Summary totals shown on Table 1 C, Section 5.

The NSF Summary Budget Form 1030 must be completed as per its instructions and should immediately follow Section 9. Only the NSF portion of the requested funds should be included on the Form 1030.