

## Conditions of Award

### *NOAA & State Resources Agency*

Three federal statutes provide general guidelines for administering Sea Grant and State Resources Agency funds. They are "Cost Principles for Educational Institutions" (OMB Circular A-21, August 2000), "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education" (15 CFR Part 14; OMB Circular A-110, November 1993, amended September 1999), and "Audits of States, Local Governments, and Non-Profit Organizations" (OMB Circular A-133, June 1997). The UC Office of the President's Research Administration Office has made the above-referenced OMB circulars available on the Internet (<http://www.ucop.edu/raohome>). In addition to the federal statutes, each university and college has established rules and regulations governing grant administration that should be adhered to. The guidelines listed on the following pages provide supplemental policy, most of which are unique to Sea Grant. This information is also accessible on our website.

Investigators and their institutions are also reminded that expending federal or non-federal (cost-share) funds, or providing in-kind goods and services, for the purposes of providing transportation, travel, and any other expenses for any federal employee or agency is expressly prohibited.

Please review the stipulated conditions carefully and, having done so, sign and return the "Award Acceptance Form." We urge you to contact us at any time if you have any problems or questions.

#### Contact Information:

Phone: (858) 534-4400

Email: [sgfiscal@ucsd.edu](mailto:sgfiscal@ucsd.edu)

Website: <http://www-csgc.ucsd.edu/FUNDING/MANAGING/CASG/InstitutionalAwardIndx.html>

## **Modification of Scope of Work & Personnel**

### **Scope of Work**

The approved proposal, timeline, and agreed-upon responses to reviews, constitute the scope of work. In no case shall an investigator make a change in the scope of work of the project (including subcontracts) without the specific and prior written approval of the Sea Grant Director. The project leader must contact Sea Grant to explain and justify the proposed change, and indicate the impact on the project's progress and results. In most cases, approval from NOAA is also required.

### **Personnel**

If you or your co-project leaders will be on any type of leave (sabbatical or leave of absence) during the period of this award, please contact California Sea Grant immediately to describe and

determine this action's impact on the research project. It may be necessary to obtain approval from the National Sea Grant College Program office for the appointment of an interim project leader.

Changes in senior personnel, in their grantee organization, or in their percentage of time, require prior approval of the Sea Grant Director. Your request should address any changes in scope. If another project leader is being added, include their biographical sketch and a description of the work they will be performing.

## **Financial Guidelines**

Most project leaders have three sources of funds for which records must be kept: Sea Grant (federal) funds, Resources Agency (state) funds, and other non-federal (grantee) matching funds.

Support for your research and any affiliated traineeships may be awarded from two sources: Sea Grant (federal) and the Resources Agency (state). Federal funds and state funds will be allocated separately and must not be co-mingled. Accordingly, a separate accounting for each of these funds must be maintained. This includes submitting separate reimbursement requests and end-of-year financial reports.

### **Federal Budget**

Your main research award will not include Sea Grant trainee stipend and tuition funds. California Sea Grant will separately award them. Traineeship funds and research project funds must not be co-mingled and must be accounted for separately. If your project includes a trainee, please fill out a California Sea Grant Graduate Traineeship Appointment Form for each appointee, provide a copy of the Sea Grant Research Trainee Guidelines for their review, obtain the required signatures, and return the form to California Sea Grant for approval. This form, as well as our Trainee Guidelines, is available on our web site.

### **Matching Funds/Cost Share**

A report of grantee cost sharing must be submitted within 45 days of the end of each year's award. Please refer to the Proposed Sources of Matching Funds in your proposal and the 15 CFR Part 14 or OMB Circular A-110 (Subpart C - Post Award Requirements, Section .23 Cost sharing or matching) for matching funds criteria.

The agency expects the non-federal share to be expended at the same general rate as the federal funds. Therefore, the principal investigator's institution is responsible for keeping an accounting of matching information throughout the year, with the full amount being documented and reported to the California Sea Grant office within 45 days of the end of each year's award. The principal investigator's institution will be the office of record for the cost share and therefore must keep the back-up documentation in their files. The cost share amount reported to California Sea Grant is then reported to the agency. In addition to submitting the cost share report to Sea Grant, the principal investigator should also report their cost share amount as indicated by their institution's policy. Note, time extensions granted do not change the due date of cost share reports.

**SPECIAL NOTE: Cost share documentation must be up-to-date before any other grant actions requested on the project will be considered. This condition also extends to requests related to other proposals or activities by the project's leaders. If the amount of cost-share proposed in the project's budget is not met, a proportional and retroactive reduction in the federal share of an award may be necessary.**

## **How to Invoice for Reimbursement**

To be in compliance, all campuses must submit invoices at least quarterly. Additionally, within 30 days of receipt of the award, campuses must provide California Sea Grant with ledgers or other such documents, which show award set-up. If an invoice is received in the Sea Grant Office showing that federal, state, and traineeship funds have been co-mingled, the invoice will be returned for revision before payment can be approved.

Non-UC Campuses: Any format will be accepted providing the invoice includes all the fields listed in the sample invoices (see website). No back-up is required to receive payment. In order to have an overview of the project's progress, a ledger showing a summary of expenses by category will be required on an annual basis. This includes identifying salaries and benefits, supplies, domestic and foreign travel, and any other costs associated with the project.

UC Campuses: We will accept IRRs from UC campuses as outlined in the UCOP Operating Guidance No. 02-02 (page 7 of document, <http://www.ucop.edu/raohome/cgmemos/02-02.htm>). Any format will be accepted providing the IRR includes all the fields listed in the UCOP Operating Guidance. No back-up is required to receive payment. In order to have an overview of the project's progress, California Sea Grant will retain the right to randomly request ledgers showing expenses by category.

The final invoice needs to be marked "Final" and is due within 45 days following the termination of the project and/or of the omnibus grant. Any invoices received after the 45-day period will not be paid, unless the campus receives an approval from California Sea Grant for a short extension. It is the responsibility of the campus to contact California Sea Grant within the 45-day period, if there is a foreseeable delay in submitting the final invoice.

Invoices must be submitted directly to California Sea Grant.

California Sea Grant College Program  
University of California, San Diego  
9500 Gilman Drive Dept. 0232  
La Jolla, CA 92093-0232  
Email: [sgfiscal@ucsd.edu](mailto:sgfiscal@ucsd.edu)  
Fax: (858) 534-2231

## **Financial Reporting Requirements**

Financial reports (including federal and state final expense reports, equipment inventory, and annual cost share report) are required at the end of each grant year. If subsequent project years are funded under the same award number, then the funding can be added to the first year's

account. In this case, the annual federal financial report is not required. Instead submit this report at the termination of the project. The project leader or administrative contact should submit the annual reports of expense through their institution's grants management or extramural funds office. That office should then submit these reports to: California Sea Grant College Program, University of California, San Diego, 9500 Gilman Drive Dept. 0232, La Jolla, California 92093-0232. These forms are available on our website.

- Annual Cost Share Report (federal only) is due within 45 days following the end of each award year. Time extensions do not change the due date of the cost share reports. Additionally, all cost share must be from a non-federal source. In reporting equipment cost share, the principal investigator must claim the fair market value or depreciated value of the equipment. See Matching Funds/Cost Share section above.
- Final Expense Report - Research: This report is due within 45 days following the termination date of the project and/or the omnibus grant. The principal investigator or administrative contact should submit the report through their institutions grants management or extramural funds office.
- Final Expense Report - Traineeship: This report is due within 45 days following the end of each award year. This report is only required if the award has a traineeship. The principal investigator or administrative contact should submit the report through their institutions grants management or extramural funds office.
- Equipment Inventory Report: If the principal investigator has purchased equipment with Sea Grant funds, the California Sea Grant office requires that an Equipment Inventory Report be submitted within 45 days following the end of each award year.

***SPECIAL NOTE: California Sea Grant reserves the right to withhold project funds if appropriate documentation or required reports are not provided by program deadlines.***

### **Special Conditions & Comments**

- Alterations and Renovations: Sea Grant funds cannot be used for this purpose.
- Books: Reference books purchased on Sea Grant funds must be specifically related to the Sea Grant project and must be purchased within a reasonable time prior to the termination date.
- Consultants: Project leaders and other Sea Grant participants cannot receive payment for consultation on Sea Grant projects. Prior approval is required to hire consultants; if consultation costs were not included in the originally approved budget, a letter justifying the request must be sent to the Sea Grant Director for approval.
- Equipment (Permanent and General Purpose): Prior approval is required to purchase any single unit or item of permanent equipment that was not included in the approved budget. If the unit cost is in excess of \$5,000, the Sea Grant office will need to obtain prior approval for the purchase from NOAA. Effective 7/1/04, equipment is defined by the UC Office of the President as articles of non-expendable tangible personal property having a

useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Changes in the originally approved budget items require prior approval by the Sea Grant Director.

General-purpose equipment requires specific prior approval regardless of the purchase amount (the same rule applies to costs for rental or repair of general-purpose items). General-purpose equipment includes any item that is usable for activities of the institution other than research (e.g., office equipment and furnishings, air conditioners, reproduction or printing equipment, motor vehicles, computer equipment or accessories, refrigerators, or freezers).

- Mail: Under the MTDC computation of overhead this is unallowable unless specifically requested in the budget justification.
- Meeting and/or meal costs; Catering services: Unallowable unless specifically requested in budget justification.
- Membership Dues/Subscriptions: Payments for memberships and subscriptions are not allowed.
- Office and administrative supplies: Under the MTDC computation of overhead this is unallowable unless specifically requested in the budget justification.
- Rental of Space: Sea Grant funds cannot be used for this purpose.
- Travel: Reimbursement for travel expenses shall not be higher than the University of California approved travel rates. These travel rates are published at: <http://www.ucop.edu/ucophome/policies/bfb/g28.html>.

If a *foreign* trip is not itemized (location, date of trip, estimated cost broken down by airfare, per diem) in the originally approved budget, the Sea Grant Director requires a written request with justification at least 60 days PRIOR to the trip in order to notify the National Sea Grant office. This justification should include items (a) through (e) below.

Foreign Travel Checklist: All travel must be in compliance with the Fly America Act (contact your campus Contract and Grant or Foundation office if you need further information). Domestic travel includes travel to all U.S. possessions or trusts, such as Puerto Rico, the Virgin Islands, the Trust Territories, Guam, and Samoa. If a foreign trip is not itemized in the originally approved budget, the Sea Grant Director requires a written request with justification. Sixty (60) days PRIOR approval is required. Requests for prior approval of this nature should include the following:

- a) Traveler's name;
- b) Dates traveled;
- c) Origin and destination of the travel;
- d) Detailed itinerary of the travel, name of the air carrier, and flight number for each leg of the trip; and
- e) Completed Fly America Act Waiver Checklist (see website) if a foreign carrier is used on any portion of a trip even when no U.S. carriers are available.

## Change Requests: No-Cost Extensions & Rebudgets

### No-Cost Extensions

Investigators are expected to adhere to the project's approved timeline and to complete the project by the award's end date. In the event circumstances prevent this, an email request originating from the lead investigator with carbon copies to all necessary parties must be submitted at least one month prior to the end of the project's expiration date. Please send your request accompanied by a progress report to [sgfiscal@ucsd.edu](mailto:sgfiscal@ucsd.edu), address the email to Dr. Russell Moll, and include the following in your message:

- 1) The relevant grant number;
- 2) The Sea Grant project number;
- 3) Your campus account and fund numbers and/or purchase order number;
- 4) The current project end date and new requested end date;
- 5) A justification for the need for additional time: describe how and why progress has been delayed, which objectives have not yet been completed and a new timeline for their activities;
- 6) Indicate expected fund balance for each expense category, the reason for the balance, and an explanation of how the funds will be used (provide dollar amounts).
- 7) If applicable, justification for the extension of the traineeship; and

In order for a request to be reviewed, the project must have the following:

- 1) Cost-share documentation of all investigators must be up-to-date;
- 2) Progress report must accompany request as a separate document; and
- 3) Progress and/or completion reports for all affiliated investigators must be up-to-date.

Please be aware that extensions do not extend the due date of the Annual Cost Share Report or the annual Progress Report. Additionally, approval of a no-cost extension for the research project does not automatically extend the traineeship(s) associated with the project. No-cost extension requests for traineeship funds must be specifically requested. In addition, an extension to the final year of a project necessitates the submission of an annual Progress Report and a final Progress Report.

***SPECIAL NOTE: Projects may not be extended merely to allow recipients to spend unobligated funds. Extensions may be one-time or may be approved incrementally, but in all cases extensions may not exceed 12 months beyond the original project period ending date. Any unused funds at the end of the project period will revert to California Sea Grant.***

### Rebudgets

All transfer of funds into or from the equipment and foreign travel categories require the prior approval of Dr. Russell Moll, the Sea Grant Director. In addition, prior approval of the Sea Grant Director is required if cumulative transfers between categories exceed 10% of the originally approved total Sea Grant costs, or if funds are being transferred into any category where they were not originally budgeted. The email rebudget request must originate from the principal investigator with copies to all necessary parties. It should be sent to [sgfiscal@ucsd.edu](mailto:sgfiscal@ucsd.edu), addressed to Dr. Russell Moll, and should include the following details:

- 1) The relevant grant number;
- 2) The Sea Grant project number;
- 3) Your campus account and fund numbers and/or purchase order number;
- 4) For each category requiring the rebudgeting of funds, include:
  - a) Salaries – Indicate the total funds required for each employee, as well as the overall total. Provide a justification for the need to increase costs or an explanation of the remaining balances in salaries.
  - b) Supplies – Identify the category (e.g., laboratory or marine) and include a dollar amount for each category.
  - c) Equipment – Provide a description of the equipment to be purchased or leased, including unit cost and total purchase or leasing costs. Identify the purpose of each equipment item and how it will benefit the project or be used for the project.
  - d) Travel – If the overdraft in travel is due to an additional trip, include the number of travelers, to/from details, type of transportation (e.g., airfare, mileage) and total cost of the trip. Identify the purpose of each trip and how it relates to the project.
  - e) Other – Identify cost categories such as communications, printing, publication charges, graphics, phones, computer time or usage, and total for each category.
  - f) Indirect Costs – Funds may be transferred between direct and indirect costs if ALL of the following conditions apply:
    - 1) If a transfer of funds among direct cost categories results in a revision to the amount of indirect costs but does not exceed the cumulative budget transfer threshold of 10% that would require prior approval; and
    - 2) If the authorized transfer of funds and the adjustment of the amount of indirect costs do not exceed the approved total project costs; and
    - 3) If the indirect cost rate does not change; and
    - 4) If the adjustment of the amount of indirect costs does not result in a change to the approved award’s scope of work.
- 5) The original and new budget by line item in a spreadsheet format as follows:

<b>Category</b>	<b>Budget</b>	<b>Rebudget</b>	<b>New Budget</b>
Salaries	10,000	-2,000	8,000
Benefits	3,000	-750	2,250
Supplies	2,000	0	2,000
Travel	1,000	2,750	3,750
Indirect Cost	1,600	0	1,600
<b>Total Costs</b>	<b>17,600</b>	<b>0</b>	<b>17,600</b>

### **Documenting Program Success & Technology Transfer**

A primary goal of the National Sea Grant College Program and California Sea Grant is the dissemination of results of Sea Grant-funded research and its ultimate use by coastal audiences. California Sea Grant’s ability to obtain funds depends directly on how well we achieve this goal. In order to assist Sea Grant administrative staff with this task, you will be required to provide us with progress reports every 12 months, regardless of extensions.

In addition, because Sea Grant awards federal and state funds, we have an obligation to provide information to the public. Sea Grant responds to inquiries from the public and news media about the *funding* of your project with the CASG project number, title of project, total funding approved, dates/duration of project and the principal investigator(s). We routinely provide public updates on the *progress* of funded projects through news releases, web articles, annual Program Directory, etc. In the case of a specific inquiry, we will notify you, and if appropriate, encourage the inquirer to contact you directly.

Sea Grant Communicators and Extension Specialists may also contact you. We encourage you to assist them as much as possible in carrying out their outreach activities. We may also invite you to participate in workshops, seminars, and other meetings conducted by California Sea Grant and/or its Extension Program.

Since we must document project results, impacts, and benefits, our communication with you will continue beyond the completion of your funded project.

***SPECIAL NOTE: Your assistance in providing timely and meaningful documentation of the impact your work has made will be considered in evaluation of future proposal submissions. Furthermore, continued or new funding of any Sea Grant project with which you are affiliated will be withheld until previous, outstanding progress reporting requirements are fulfilled.***

## **Progress Reporting**

Progress reports are a required condition upon accepting Sea Grant funds. Progress reports serve as the basis for Sea Grant's decision regarding continuation of a multi-year project into its next year. A final Progress Report will be required within 30 days after the termination of your project. Specifications regarding reports will be emailed to you in advance of their due dates.

Below you will find the list of required progress reports for your project. These reports may be found on the Sea Grant website.

- Annual Progress Reports: At the end of every year, a call is issued for a report on the results from the preceding grant year. Each project leader is required to complete an annual progress report. This report is due 30 days after each award year, regardless of extensions. For terminating projects, a final progress report is due 45 days after the termination of the project.
- Trainee Education Reports: All trainees supported by the grant are required to submit an annual, separate report during the grant term. This report is due 30 days after each award year, regardless of extensions.

***SPECIAL NOTE: California Sea Grant reserves the right to withhold the project funds if appropriate documentation or required reports are not provided by program deadlines.***

## **Patents**

All potentially patentable ideas, inventions, discoveries or improvements made during the grant terms must be disclosed promptly. UCSD project leaders to whom this applies should download,

complete and submit the form found at <http://invent.ucsd.edu/downloads/index.htm>. Other UC researchers should go to the UC Office of the President's website: <http://ucop.edu/ott/contacts.html>. CSU and private institution researchers should contact their grants administration office for instructions.

## **Theses/Dissertations & Trainees**

### **Theses/Dissertations**

Costs for typing theses or dissertations are not allowed. See Publications Guidelines for required copies.

### **Trainees**

The principal investigator or administrative representative will need to submit the Graduate Trainee Appointment Form and provide the trainee with the Traineeship Guidelines before California Sea Grant can reimburse their campus for traineeship expenses. If the trainee separates as a Sea Grant trainee, then the principal investigator or administrative representative will need to submit the Graduate Trainee Separation Form.

Please make sure that the traineeship award is set-up within 30 days of receipt of the award allocation and is overhead free. For more information refer to the Trainee Guidelines found on the Sea Grant website.

## **Publications, Article Reprints & Presentations**

It is essential that you and your trainees properly acknowledge support by the California Sea Grant College Program and the National Oceanic and Atmospheric Administration in all materials that you publish as a result of your Sea Grant project.

California Sea Grant is required by the National Sea Grant College Program to distribute copies of publications resulting from Sea Grant-sponsored research. To ensure both proper acknowledgement of the Sea Grant program and proper dissemination of your published research results, refer to the Publication Guidelines found on the Sea Grant website at <http://www.csgc.ucsd.edu/FUNDING/MANAGING/CASG/PoliciesGuidelinesReports.html>. Please consult these guidelines when you are first preparing your publication and later when you have been advised of its acceptance and are ordering PDFs or reprints. The California Sea Grant College Program expects that you will publish the progress and results of your Sea Grant-funded work through technical journals, proceedings, trade press, etc. Also refer to the Publication Guidelines for details regarding reimbursement for PDFs, reprints and page charges.

Sea Grant project leaders and trainees must properly acknowledge Sea Grant's support in all publications that report results of their Sea Grant research, and Sea Grant must receive a specified number of article reprints for required distribution. Please adhere to the California Sea Grant Publication Guidelines for the proper Sea Grant acknowledgment and ordering information.

Please be sure to acknowledge Sea Grant support when *presentations* are made. This visibility has become increasingly important to us and is a courtesy we take seriously.

### **Statement of Acknowledgement**

All publications must carry one of the following acknowledgments. Please note that the grant award number (see Publication Guidelines) is the basis for funding the reprint.

#### **Federal Support Only:**

This publication (website, video, etc.) was prepared by [author's name] under NOAA Grant #\_\_\_\_\_, California Sea Grant College Program Project #\_\_\_\_\_, through NOAA'S National Sea Grant College Program, U.S. Dept. of Commerce. The statements, findings, conclusions and recommendations are those of the author(s) and do not necessarily reflect the views of California Sea Grant, NOAA or the U.S. Dept. of Commerce.

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