



OPC/CA SEA GRANT PARTNERSHIP FOR OCEAN AND COASTAL INFORMATION, RESEARCH, AND OUTREACH STRATEGY

CONDITIONS OF AWARD

Three federal statutes provide general guidelines for administering Sea Grant and State Coastal Conservancy (“the Conservancy”) 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 web site, <http://www-csgc.ucsd.edu>.

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.

Budget Contingency Clause: It is mutually agreed that if the California Budget Act of the current year and/or any subsequent years covered under this Agreement does not appropriate sufficient funds for the work identified, this Agreement may be terminated. In this event, the Regents of the University of California/Sea Grant shall provide written notification to the contractor that sufficient funds are not available to fund this agreement. In the event the current year funds are adversely affected by the Budget Act, the contractor shall be compensated for expenses relating to this Agreement that have been incurred up to the date of written notification. The State shall have no liability to pay any funds whatsoever to the Contractor beyond those stipulated in this clause or furnish any other considerations under this Agreement and the Contractor shall not be obligated to perform any provisions of this Agreement.

If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, Sea Grant acting for the State shall have the option to either: cancel this Agreement with no liability occurring to the Regents of the University of California/Sea Grant and the State, or offer an Agreement Amendment to Contractor to reflect the reduced amount available.

BUDGET, MATCHING FUNDS, AND PERSONNEL

When the award is made, your research project budget figure will include Sea Grant trainee stipend funds. You are not required to set up a separate trainee fund, however, you must include trainee expenses in a separate line on your invoice or IRR. Trainee funds may not be used for research unless approved by the Sea Grant office. Please read the section on rebudgeting your funds. If your project includes a trainee, please fill out a California Sea Grant Graduate Traineeship Appointment Form for each appointee, 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 (follow the Managing Your Award link).

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 Conservancy office for the appointment of an interim project leader.

A primary goal of the Conservancy 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 brief progress reports every 6 months. Progress reports serve as the basis for Sea Grant's decision regarding continuation of a multi-year project into its next year. This report will include requests for information regarding project activities and findings, publications, collaborators, outreach activities, and other contributions. A final Progress Report will be required within 45 days after the termination of your project. Specifications regarding reports will be mailed to you in advance of their due dates, together with information on the option of submitting your report online.

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 Annual, financial, and Impacts/Benefits report requirements are fulfilled.

It is essential that you and your trainees properly acknowledge support by the California Sea Grant College Program and the Coastal Conservancy, to the State of California, and the State Water Resources Control Board in all materials that you publish as a result of your Sea Grant project.

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.

Publications Statement of Acknowledgement

All publications must carry one of the following acknowledgements.

PUBLICATIONS AND PRESENTATIONS

Coastal Conservancy, the State of California, and the State Water Resources Control Board under Grant Agreement #09-021, project #R/OPCENV-09, through the California Sea Grant College Program. The views expressed herein do not necessarily reflect the views of any of those organizations.

Alterations and Renovations: 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 the Conservancy. 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 or project leader other than this research (e.g., office equipment and furnishings, air conditioners, reproduction or printing equipment, motor vehicles, computer equipment or accessories, refrigerators, or freezers).

For rebudget requests 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 or be used for the project.

Fiscal Reporting Requirements: Equipment inventory reports are required at the end of each grant year. Your invoice or IRR at the end of each award period serves as your annual financial report. **The Conservancy requires quarterly expense reports. This report must include appropriate documentation. The requests for reimbursement (below) will meet this requirement as long as ledgers and travel documentation accompanied the request. If you request reimbursement more frequently we will combine the requests into one quarterly report. Invoices which are not submitted quarterly will require the immediate return of project funds disbursed.** The project leader or administrative contact should submit the reports of expense through their institution's grants management or extramural funds office. These forms are available on our web site (follow the Managing Your Award link). Completion of this form is not mandatory if your requests for reimbursement are up-to-date. Receipts for travel expenses will be requested as required by the agency.

For monitoring, Sea Grant requires that all grant recipients send quarterly requests for reimbursement. Payment to your accounting office cannot be made until this office has approved your Sea Grant Request for Disbursement. Invoices and IRR's must include the period back-up documentation covering the period of the expenses, such as ledgers or a breakdown by budget category (salaries, supplies, travel, trainee stipend, tuition etc.), to support the payment or reimbursement being requested. Receipts are required for materials costing in excess of \$1,000. Requests for travel reimbursement must include a Travel Expense Claim. This form can be found on our website or you may submit a form used by your institution, subject to Sea Grant approval of such form. On approval, reimbursement less a required ten (10%) withhold will be reimbursed. An invoice or IRR is required at the end of each award year in order to request the 10% withhold from OPC. In addition, all progress reports must be up to date. All financial reports/invoices must be directed to the following address:

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

Membership Dues/Subscriptions: Payments for memberships and subscriptions are not allowed.

No-Cost Extensions: Permission to extend funds remaining at the end of each grant year must be obtained from the Sea Grant Director 30 days prior to the termination date of the project. A project leader should not assume that funds would automatically be extended. When submitting no-cost extension requests, include the relevant state agreement number, as well as your campus account and fund numbers (subcontracts should specify their purchase order number). Also include the expected fund balance at the end of the grant year for each expense category, the reason for the balance, and an explanation of how the funds will be used. Any changes from what was originally proposed must be well justified. If rebudgeting between budget categories is also required, include the information requested under "Rebudgeting of Funds" below. Approval of a no-cost extension for a research project does not automatically extend the traineeship(s) associated with the project. No-cost extension requests for traineeship funds must be specifically requested.

Rebudgeting of Funds: All rebudgeting of funds into or from equipment, foreign travel and indirect cost categories require *prior approval* of the Sea Grant Director. For rebudgeting to/from other categories where prior approval is not necessary, the investigator's institution is the office of record and therefore must keep the project leader's justification for the rebudget. When requesting approval, include the relevant state agreement number, as well as your campus account and fund numbers (subcontracts should specify their purchase order number). For each category requiring the rebudgeting of funds, include 1) an explanation of the benefit the project received and/or the reason you did not require the item originally budgeted, and 2) the balance of funds projected to be remaining at the end of the grant year. In addition, include the following information:

Equipment – see Equipment above for requirements.

Travel – See Travel below for requirements.

Indirect Costs – Funds may be transferred between direct and indirect costs if ALL of the following conditions apply:

- a) If a transfer of funds among direct cost categories would result in a revision to the amount of indirect costs approved in the line item budget;
- b) If the authorized transfer of funds and the adjustment of the amount of indirect costs do not exceed the approved total project costs;
- c) If the indirect cost rate does not change; and
- d) If the adjustment of the amount of indirect costs does not result in a change to the approved scope of work of the award.

Rental of Space: Funds cannot be used for this purpose.

Sub-contracts– If the grant recipient retains any contractors, excluding agency or department of the United States or any State, Federally Funded Research and Development Center, to accomplish any of the work of this Agreement, the Project Leader shall first enter into a written agreement with each contractor by which the contractor agrees to indemnify and hold Harmless the State of California and the Conservancy and its Officers, agents and employees from any and all liabilities, losses, claims, demands, damages or costs, including without limitation litigation costs and attorney's fees, resulting from or arising out of contractor's performance under its agreement with California Sea Grant.

Senior Personnel: Changes in senior personnel, in their grantee organization, or in their percentage of time, require prior approval of the Sea Grant Director. Use of senior personnel funds for other than originally budgeted purposes also require prior approval of the Sea Grant Director.

Technical Reporting Requirements:

Patents – All potentially patentable ideas, inventions, discoveries or improvements made during the grant term must be disclosed promptly. The Sea Grant Property/ Inventions/ Patents/Royalties report included in the package requesting technical reports should be signed and returned to the California Sea Grant office. In addition, UCSD project leaders to whom this applies should contact the UCSD Invention and Technology Office for instructions on completing the Invention and Technology Disclosure form or the Copyright Disclosure form as applicable. Other UC researchers should go to the Office of the President's web site for information concerning the Technology Transfer office at their campus (<http://www.universityofcalifornia.edu/research/techtransfer.html>).

With respect to any invention produced or developed under this Agreement (“invention”) in which no federal funding is involved, the Conservancy shall have a non-exclusive, irrevocable, paid-up license to practice or have practiced such invention by or on behalf of the Conservancy throughout the world, and the right to assign the license to any third party subject only to the written approval of the grant recipient, which shall not be unreasonably withheld.

Copyright – Except for publication of results or dissemination of materials for education or research purposes, the grant recipient shall not sell or grant rights to such copyright works produced or developed under this agreement to a third party who intends to sell such works as a profit-making venture. Notwithstanding this restriction, the grant recipient may use such copyright works to produce or develop derivative works for use in sponsored research activities with other third party sponsors and may grant such third party sponsors to incorporate said derivative works into the commercial products of the third party sponsor.

Rights in Data –

The Conservancy has the right to:

- 1) Obtain, reproduce, display, publish, make derivative use of or otherwise use the data first produced or developed under this agreement.
- 2) Authorize others to receive, reproduce, display, publish, make derivative use of or otherwise use such data.

Preservation of Rights in Third Party Agreements – The grant recipient shall include in any agreement with a third party for work under this Agreement terms that preserve the rights, interests, and obligations created by this section and that identify the Conservancy as a third-party beneficiary of those provisions.

Publications and Article Reprints – 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. Project leaders receive California Sea Grant Publication Guidelines each grant year. Please adhere to these guidelines for the proper Sea Grant acknowledgment and ordering information. These guidelines are available on our web site.

Semi Annual Reports– At the end of every six months a short semi-annual progress report is required. Each project leader should complete a semi-annual report to submit to the lead PI with a copy to California Sea Grant (sgreports@ucsd.edu). Failure to submit a semi-annual report will require the immediate return of funds disbursed to the grant recipients and any interest earned on those funds. This report shall include A comparison of actual accomplishments with the goals and objectives (timelines, tasks, budget etc.) established for the period, the findings of the investigator; reasons why established goals were not met, if appropriate; any problems encountered; and how problems were resolved. If a problem arises

that is likely to seriously delay progress, the problem and some strategy for overcoming it needs to be described.

Final Annual Report – For terminating projects, a final report of the scientific/ technical results must be submitted, either in hard copy or online within 45 days.

Trainee Reports – All trainees supported by the grant are required to submit an annual, separate report during the grant term. This report can be submitted either in hard copy or online.

Online Submission of Reports – Details may be found by going to the Sea Grant web site: <http://www-csgc.ucsd.edu>.

Theses/Dissertations – Refer to the Trainee Guidelines found on our web site (follow the Post Award link). Typing costs of theses or dissertations are not allowed.

Trainees – Refer to the Trainee Guidelines.

Travel – Reimbursement for travel expenses shall be made in accordance with University of California approved travel rates (or your institution's rate if lower), published at: <http://www.ucop.edu/ucophome/policies/bfb/g28.html>. All request must include a Travel Expense Claim related to the travel and expenses for which reimbursement is sought. The Travel Expense Claim can be found on our website at: <http://www-csgc.ucsd.edu/FUNDING/MANAGING/IdxManaging.html>. If your institution has its own travel claim form, please submit it to our office for approval.

Reimbursement for the cost of operating a private vehicle shall not, under any circumstance, exceed the rate approved for equivalent State employees. More information on travel reimbursement can be found at <http://www.dpa.ca.gov/personnel-policies/travel/hr-staff.htm>

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.

When requesting a rebudget to domestic travel include the number of travelers, type of transportation (airfare cost per traveler, mileage rate/mile x number of miles), and total. Identify the purpose of each trip and how it relates to the project. (See below for foreign travel requirements.)

If foreign travel is not itemized in the originally approved budget, foreign travel will NOT be reimbursed.