

Conditions of Award NOAA & California Natural Resources Agency

2 C.F.R. Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (OMB Uniform Guidance) provides general guidelines for administering Sea Grant and California Natural Resources Agency funds. Uniform Guidance replaces the administrative, accounting, audit rules and principles currently promulgated in the OMB Circulars, including A-21, A-110, and A-133. The UC Office of the President’s Research Administration Office has made the above-referenced OMB circular 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) 534-4440

Email: sgfiscal@ucsd.edu

Website: <https://caseagrant.ucsd.edu/grants-and-funding/managing-your-award/california-sea-grant-core-awards>

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

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 2 CFR Part 200.306 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.

Invoices must be accompanied by the following supporting documentation:

1. A ledger detailing all expenditures incurred by the research project for the period during which work was performed and the project lead is now seeking reimbursement. This should be compiled in coordination with your campus and/or organization's grants administrator, and identify salaries and benefits, supplies, domestic and foreign travel, and any other costs associated with the project.
2. Travel Expense Claim forms for travel expenses incurred by the research project. Travel and related expenses will be reimbursed in accordance with University of California regulations (published at <http://policy.ucop.edu/doc/3420365/BFB-G-28>); reimbursement shall not exceed University of California-approved travel rates that are in effect at the time that the expense is incurred. Original receipts for travel expenses may be requested.

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

For University of California campuses:
Please submit all invoices and ledgers
through SPARCM – (refer to your sponsored
projects office for guidance)

Attn: Fund Manager

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, or email to: sgfiscal@ucsd.edu. 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. 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: Costs of the non-Federal entity's membership and subscriptions in business, technical, and professional organizations are allowable. Costs of memberships to any civic or community organization must have prior approval from the Federal awarding agency. Costs of membership in any country club or social or dining club or organization are unallowable. Reimbursement for membership dues/subscriptions will only be made if specifically requested in the budget justification.

- 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 exceed the University of California approved travel rates. These travel rates are published at: <http://policy.ucop.edu/doc/3420365/BFB-G-28>.

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 (d) 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 of travel;
- 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 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, address the email to the California Sea Grant Director, 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 sub-award 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 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, addressed to the Sea Grant Director, 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 sub-award 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 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 has not changed; 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:

Category	Budget	Rebudget	New Budget
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
Total Costs	17,600	0	17,600

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.

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 30 days after the termination of the project.

This report will be submitted through the Sea Grant progress report portal at <https://eseagrant2.ucsd.edu/>.

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.

Data and Publication Sharing

Data Sharing: Environmental data collected or created under this Grant, Cooperative Agreement, or Contract must be made publicly visible and accessible in a timely manner, free of charge or at minimal cost that is no more than the cost of distribution to the user, except where limited by law, regulation, policy, or national security requirements. Data are to be made available in a form that would permit further analysis or reuse: data must be encoded in a machine-readable format, preferably using existing open format standards; data must be sufficiently documented, preferably using open metadata standards, to enable users to independently read and understand the data. The location (internet address) of the data should be included in the final report. Pursuant to NOAA Information Quality Guidelines,¹ data should undergo quality control (QC) and a description of the QC process and results should be referenced in the metadata.^{2,3}

Timeliness: Data accessibility must occur no later than publication of a peer-reviewed article based on the data, or two years after the data are collected and verified, or two years after the original end date of the grant (not including any extensions or follow-on funding), whichever is soonest, unless a delay has been authorized by the NOAA funding program.

Disclaimer: Data produced under this award and made available to the public must be accompanied by the following statement: "These data and related items of information have not been formally disseminated by NOAA, and do not represent any agency determination, view, or policy."

Failure to Share Data: Failing or delaying to make environmental data accessible in accordance with the submitted Data Management Plan, unless authorized by the NOAA Program, may lead to enforcement actions, and will be considered by NOAA when making future award decisions. Funding recipients are responsible for ensuring these conditions are also met by sub-recipients and subcontractors.

Funding acknowledgement: Federal funding sources shall be identified in all scholarly publications. An

¹ http://www.cio.noaa.gov/services_programs/IQ_Guidelines_103014.html

² Failure to perform quality control does not constitute an excuse not to share data.

³ Data without QC are considered "experimental products" and their dissemination must be accompanied by explicit limitations on their quality or by an indicated degree of uncertainty.¹

Acknowledgements section shall be included in the body of the publication stating the relevant Grant Programs and Award Numbers. In addition, funding sources shall be reported during the publication submission process using the FundRef mechanism (<http://www.crossref.org/fundref/>) if supported by the Publisher.

Manuscript submission: The final pre-publication manuscripts of scholarly publications produced with NOAA funding shall be submitted to the NOAA Institutional Repository at <http://library.noaa.gov/repository> after acceptance, and no later than upon publication, of the paper by a journal. NOAA will produce a publicly-visible catalog entry directing users to the published version of the article. After an embargo period of one year after publication, NOAA shall make the manuscript itself publicly visible, free of charge, while continuing to direct users to the published version of record.

Data Citation: Publications based on data, and new products derived from source data, must cite the data used according to the conventions of the Publisher, using unambiguous labels such as Digital Object Identifiers (DOIs). All data and derived products that are used to support the conclusions of a peer-reviewed publication must be made available in a form that permits verification and reproducibility of the results.

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/>. Other UC researchers should go to the UC Office of the President's website: <http://www.ucop.edu/innovation-alliances-services/innovation/training-and-education/uc-patent-policy.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 (NOAA) 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 <https://caseagrant.ucsd.edu/grants-and-funding/attributions-to-california-sea-grant>. 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. Please include in your project budget estimated costs for publications.

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 PDF or specified number of article reprints for required distribution. Please adhere to the California Sea Grant Publication Guidelines for the proper Sea Grant acknowledgment.

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.

Federal and State Support:

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; and was supported in part by _____ [e.g., the California Natural Resources Agency]. The statements, findings, conclusions and recommendations are those of the author(s) and do not necessarily reflect the views of California Sea Grant, state agencies, NOAA or the U.S. Dept. of Commerce.

Additional Policy and Procedure Guidelines and Other Items of Interest

- DOC Grants Policy: http://www.osec.doc.gov/oam/grants_management/policy/default.htm
- Research Terms and Conditions: <http://www.nsf.gov/awards/managing/rtc.jsp>
- 2 CRF Part 200: http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl
- Council on Financial Assistance Reform (COFAR) Uniform Guidance FAQs: <https://cfo.gov/cofar/cofar-resources/>
- NOAA-specific: <http://www.ago.noaa.gov/>