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## CONDITIONS OF AWARD - IN ADDITION TO UTC-319

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University Terms and Conditions (UTC-319): [UTC-319](#)

The Science Fellows Program is a project that brings together young scientists, agency scientists and senior research mentors in collaborative data analysis and research projects relevant to the Delta Stewardship Council's coequal goals of providing a more reliable water supply for California and protecting, restoring, and enhancing the Delta ecosystem. The Science Fellows Program involves a call for research proposals from junior scientists, with the backing of their research mentors, for research on priority topics identified in the Science Action Agenda (SAA). The SAA is a four-year science agenda for the Sacramento-San Joaquin Delta that prioritizes and aligns science actions to inform management decisions, fills gaps in knowledge, promotes collaborative science, builds the science infrastructure, and achieves the objectives of the Delta Science Plan. These actions were identified through a process that gathered input from the Delta science community, the public, and other groups such as the Delta Plan Interagency Implementation Committee and the Delta Independent Science Board.

Science Fellows are competitively selected from these proposals by a panel selected by the Delta Science Program Lead Scientist and the Deputy Executive Officer for Science, in consultation with the Director of California Sea Grant. Selected fellows will work for an approximately two-year period. Masters and pre-doctoral fellows will work at the research mentor's university or research institution. Postdoctoral fellows may work with research mentors from any academic research institution. All fellows will work in close association with a community mentor on the approved project. During the fellowships, the fellow, state staff, research and community mentors will collaborate on the approved project, provide updated information, progress information, and any drafts of material to be published. The research mentor will be in charge of the project, providing broad oversight, first-level peer review, and progress information back to California Sea Grant and the Delta Science Program.

California Sea Grant sponsors and administers scientific research, fellowships, and panels of scientific advisors that contribute to the growing body of knowledge about coastal and marine resources and helps solve contemporary marine-related problems. California Sea Grant is the largest of the 33 Sea Grant programs nationwide and draws on the talents of scientists and engineers at public and private universities throughout the state. It is administered by the University of California and is based at Scripps Institution of Oceanography in La Jolla. It receives and administers federal and state funding from the National (federal NOAA) Sea Grant program, the California Resources Agency's Sea Grant Advisory Panel, and the California environmental license plate program. The staff at Sea Grant has significant experience in science management and has conducted the Delta Science Fellows Program since 2003, managing the selection and work of eleven previous classes of fellows.

The California Sea Grant College Program has partnered with the Delta Stewardship Council (DSC) Delta Science Program to administer its Delta Science Fellows Program, subsequently entering into an agreement with the funding agency—the Delta Stewardship Council. In accordance with this agreement (No. 19054), California Sea Grant's responsibilities include

requesting and reviewing proposals, financial and technical reports, publications and other deliverables, and no-cost extension and budget modification requests.

The following provides general guidelines for administering the Delta Science Fellows funds. In addition, each university and college has established rules and regulations governing grant administration to which the fellow should adhere. Please review the stipulated conditions carefully and, having done so, sign and return the “Award Acceptance Form.”

### **Question and Correspondence:**

All questions and correspondence (such as requests for extensions, budget modifications, etc.) should be emailed to [sgfiscal@ucsd.edu](mailto:sgfiscal@ucsd.edu). For full instructions on how to submit an extension and/or budget modification, visit the California Sea Grant website, <https://caseagrants.ucsd.edu/fellowships/manage/delta-science-fellowship>.

### **Research Mentor Responsibilities:**

- The research mentor’s role is to provide general oversight, direction, and first-level peer review of all aspects of the project.
- In the event that progress of the fellow is determined to be unsatisfactory by the mentor, Sea Grant, the Deputy Executive Officer for Science, or the Lead Scientist, the research mentor will jointly either agree: 1) to find another fellow, or 2) the mentor will assume active responsibility for the project and will receive no more compensation than the total fixed cost of the subcontract plus allowable travel and equipment costs minus payments already made to the fellow. In this event, the research mentor will be paid the monthly stipend that would have been paid to the fellow.

### **Fellow Responsibilities:**

- Fellows will work on this project full time.
- Fellows will have primary responsibility for undertaking all of the work of the selected project, under the general oversight and direction of the research mentor.
- Fellows are responsible for submitting travel, supply, and equipment reimbursement claims directly to their appropriate Business Office, who will then be responsible for invoicing Sea Grant for reimbursement. Fellows are required to submit an abstract for an oral or poster presentation at the State of the Estuary or Bay-Delta Science Conference during the duration of the fellowship. Fellows who attend the Bay-Delta Science Conference are expected to attend the Fellow’s luncheon, if offered.
- Fellows are expected to participate in the Delta Science Fellowship Orientation/Early Career Leadership Workshop developed jointly by the Delta Science Program and Sea Grant, if held.

### **Joint Responsibilities of the Research Mentor and Fellow:**

The research mentor and the Fellow agree to be responsible for the defined products listed below:

#### **Schedule and Deliverables:**

Deliverables will be comprised of abstracts, presentations, posters, unpublished summaries, and publications in scientific journals specific to the accepted research proposal. Deliverables

include: (a) information presented at the Bay-Delta Science Conference or State of the Estuary conference during their fellowship (oral presentations may substitute for posters); (b) preparation and presentation of one or more briefings to the science community upon request from the Deputy Executive Officer for Science or Lead Scientist for all subcontracts; (c) an annual report of progress submitted to California Sea Grant as outlined below; and (d) printed and electronic copies of publications resulting from the project up to three years after completion of the contract.

**Deliverable:** Interpretive products resulting from these projects must be provided to the Delta Stewardship Council for publication on its website or linked to another publication website.

**Deliverable:** An annual report of progress with a) a “bulletized” list of what work was accomplished, b) a list of presentations and talks, c) a list of written materials and publications with electronic copies, and d) a paragraph describing the progress of the project to be posted on the Delta Science Program website.

## 1. Mentoring Plan

A formal mentoring plan is required and should be developed by the Fellow, Research Mentor and Community Mentor. The purpose of the mentoring plan is to ensure a quality experience for the Fellow that provides a springboard to a career in scientific research and/or program implementation.

The mentoring plan should be similar to those prepared by the research institution for a National Science Foundation award. The Mentoring Plan should include at a minimum:

*Career counseling; training in preparation of grant proposals, publications and presentations; guidance on ways to improve teaching and mentoring skills; guidance on how to effectively collaborate with researchers from diverse backgrounds and disciplinary areas; and training in responsible professional practices. [Source: NSF Grant Proposal Guide. [http://www.nsf.gov/pubs/policydocs/pappguide/nsf09\\_29/gpq\\_2.jsp](http://www.nsf.gov/pubs/policydocs/pappguide/nsf09_29/gpq_2.jsp)].* Guidance for preparing a mentoring plan is provided in Exhibit B.

The mentoring plan is required within 30 days of starting the Fellowship. Failure to submit a satisfactory mentoring plan within 30 days may result in suspension of funding.

## 2. Reporting

The intent of the annual and final report is to demonstrate that the conditions of the fellowship are met. Concise reports are encouraged.

### 2.1 Annual reporting:

- Brief bulleted summary of what was achieved during the year and an explanation of any variances or unanticipated barriers.
- A Research Highlight: This should not exceed one page and include at least one image. The highlight should describe a new knowledge discovery and why this finding is important to the Delta (management implications) or a compelling project update. This may be used for the Delta Science web page and to promote the role of Science, the Fellow and mentors.
- Progress Reports: On an annual basis, each fellow is required to complete an online progress report via the California Sea Grant website. A solicitation will be issued for a progress report prior to its due date. Details may be found at

the Sea Grant website:

[https://caseagrant.ucsd.edu/fellowships/manage/delta-science-fellowship - Reporting](https://caseagrant.ucsd.edu/fellowships/manage/delta-science-fellowship-Reporting).

- A list of publications (with electronic copies of each).
- A list of presentations (with electronic copies of each).
- A list of publications in preparation.
- A paragraph describing the progress of the project to be posted on the Delta Science Program website.

Note: All publications and presentations must acknowledge the full or partial support of the Delta Science Fellows program with the following acknowledgement.

*Acknowledgment of Support:* The grantee is responsible for assuring that an acknowledgment of Council support is made in any publication (including World Wide Web pages) of any material based on or developed under this project, in the following terms:

"This material is based upon work supported by the Delta Stewardship Council Delta Science Program under Grant No. (19054)." The contents of this material do not necessarily reflect the views and policies of the Delta Stewardship Council, nor does mention of trade names or commercial products constitute endorsement or recommendation for use.

Council support also must be orally acknowledged during all news media interviews, including popular media such as radio, television and news magazines.

*Disclaimer.* The Grantee is responsible for assuring that every publication of material (including World Wide Web pages) based on or developed under this award, except scientific articles or papers appearing in scientific, technical or professional journals, contains the following disclaimer:

"Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the Delta Stewardship Council.

*Delta Stewardship Council Notification.* The grantee is responsible for assuring that the Delta Science Program is notified about publication of material based on or developed under this award and provided access to electronic copies promptly after publication.

Additional guidance for Publications Provisions can be found in Exhibit A.

## **2.2 Technical reporting:**

- **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 fellows or mentors to whom this applies should download, complete and submit the form found at:

<https://blink.ucsd.edu/research/conducting-research/edisclosure/index.html>. Other UC investigators should go to the Office of the President's website for forms and contact information concerning the Technology Transfer office at their campus. The URL is: <http://www.ucop.edu/innovation-alliances-services/innovation/technology-transfer-offices/index.html>.

- **Completion Reports** – At the end of your project, a solicitation will be issued for a completion report. This report summarizes the scientific/technical results of your project and its management implications for the Delta and is submitted via email to the California Sea Grant office.
- **Theses/Dissertations** – Graduate fellows should send electronic copies of their completed thesis (or dissertation) and of the abstract, title page, and DSC funding acknowledgment to the California Sea Grant publications office.

### **Progress Reviews:**

There will be periodic reviews of progress by the research mentor, Sea Grant, the Deputy Executive Officer for Science, and the Delta Lead Scientist.

If progress by either the mentor or fellow is deemed unsatisfactory at the 20-month review, Sea Grant shall, with Delta Stewardship Council approval, withhold all remaining payments for that project until satisfactory deliverables are submitted.

Sea Grant will prepare and submit to the Deputy Executive Officer for Science, a one-page summary of progress each quarter. The summary will include a list of bullet items of the status of the research administrative process, including the call for proposals, receipt of proposals, selection panel process, subcontracts and subawards, post-award administration, receipt of substantive deliverables, and any problems encountered during the fellowship competition and post-award administration.

### **Personnel:**

Changes in senior personnel, in their grantee organization, or in their percentage of time, require prior approval of the Sea Grant Director. In addition, if the fellow or research mentor is considering 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 as time extensions may be impossible to grant due to the nature of the funding source for this award.

### **Financial Reporting Requirements:**

The final expense report is due within 45 days following the completion of the project.

The department fiscal manager should submit the final expense report with cumulative ledgers (year-to-date details for supplies, travel, fellowship stipend, and fellowship tuition/fee remission) through their institution's grants management or extramural funds office. That office should then e-mail ([sgfiscal@ucsd.edu](mailto:sgfiscal@ucsd.edu)) this report to California Sea Grant.

### **Invoicing Requirements:**

Invoices should be printed on official letterhead and signed by an authorized official, employee or agent certifying that the expenditures claimed represent actual expenses for the service

performed under this award. Invoices must also include at a minimum the following information: Agreement Number, Invoice Number, Invoice Date, Total dollar amount being billed for the statement period including the billing/performance period covered, Description of the work performed as shown in the award; and an Itemized cost breakdown. Any invoices that significantly deviate from this format will not be paid. All invoices must be accompanied by ledgers and back-up documentation. Email all invoices to California Sea Grant at [sgfiscal@ucsd.edu](mailto:sgfiscal@ucsd.edu).

### **Reimbursement for Travel by Fellows:**

The California Sea Grant Program shall ensure that travel and per diem expenses will be reimbursed under any and all sub-contracts in accordance with University of California approved travel rates (or your institution's rate if lower), published at: <http://policy.ucop.edu/doc/3420365/BFB-G-28>.

All requests must include a Travel Expense Claim form related to the travel and expense for which reimbursement is sought. The Travel Expense Claim form can be found on our website at: <https://caseagrant.ucsd.edu/fellowships/manage/delta-science-fellowship - Travel>.

If your institution has its own travel claim form, please submit it to our office for approval. In addition, all hotel, airfare and ground transportation (auto rental etc.) receipts must accompany the travel expense claim. Mileage claims should include the number of miles, departure/destination and reason for travel.

Out-of-state and foreign (international) travel must be pre-approved in the award allocation or a request for approval must be submitted to the Sea Grant Director no less than 60 days before the anticipated travel date.

### **Reimbursement for Equipment and Supplies:**

Reimbursement of equipment and supply expenses will be paid to the fellow's (or mentor in event the fellow leaves the program) institution upon receipt of satisfactory information by the Sea Grant program.

Travel and other expenses exceeding the limits described above will not be the responsibility of the Sea Grant Program or the Delta Stewardship Council.

### **No-Cost Extensions:**

The effective dates are specified on the award allocation issued by California Sea Grant. As stated in the Request for Applications, no-cost time extensions will not be possible due to the nature of the fund source.

### **Transfer of Funds:**

Prior approval from California Sea Grant is required if cumulative transfers between categories exceed 10% of the originally approved total Sea Grant project costs or if funds are being transferred into any category where funds were not originally budgeted. Visit the California Sea Grant website for full instructions on how to submit a rebudget request.

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## EXHIBIT A – PUBLICATIONS PROVISIONS

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1. **General.** The publications provisions are to provide for adequate documentation of the completed contract obligations, encourage publication and distribution of research information, and protect the Delta Stewardship Council (Council) from unwarranted implications of policy or concurrence with the conclusions of the grantee.
2. **Publications/Acknowledgement of Support.** All reports published by the Contractor under provisions of the agreement shall contain a credit reference acknowledging Council support:
  - a. In any publication (including World Wide Web pages) of any material based on or developed under this project, in the following terms: “This material is based upon work supported by the Delta Stewardship Council Delta Science Program.”
  - b. Council support also must be orally acknowledged during all news media interviews, including popular media such as radio, television and news magazines.
  - c. Mention of trade names or commercial products does not constitute Council endorsement or recommendation.
3. **Disclaimer.** The Contractor is responsible for assuring that every publication of material (including World Wide Web pages) based on or developed under this award, except scientific articles or papers appearing in scientific, technical or professional journals, contains the following disclaimer:

“Any opinion, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the Delta Stewardship Council.”
4. **Publication Rights.** Reports prepared by the Contractor under provisions of this agreement may be published under the following conditions:

The Contractor shall have the right to disclose, disseminate and use, in whole or part, any data and information received, collected, or developed under this agreement, including material contained in the final report, subject to inclusion of the credit statement of Section 2 of these Publication Provisions not less than 30 days prior to publication of such material.
5. **Dissemination of Results.** The Contractor may publish the results of the study or any of its particulars in separate reports or by submission of technical papers to professional organizations subject to these publication provisions. Both written and oral releases are considered to be within the context of publication.

*Delta Stewardship Council Notification.* The grantee is responsible for assuring that the Delta Science Program is notified about publication of material based on or developed under this award and provided access to electronic copies promptly after publication.

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## EXHIBIT B – GUIDANCE FOR PREPARATION OF A SCIENCE FELLOW MENTORING PLAN

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### Delta Science Fellow Mentoring Plan

The following is an example of a Delta Science Fellow Mentoring Plan

**This Delta Science Fellow Mentoring Plan** has been prepared by *[Research Institution]*. The Plan establishes guidelines for work to be performed by a **Delta Science Fellow** in support of the Delta Plan with a Science Fellow Award to *[Fellow's Name]* entitled *[Research Project Title]*. The **Delta Science Fellow** assigned to the project will work in *[Research Institution Name and Location]* with *[Research Mentor's Name]* and *[Community Mentor's Agency Name]* with Dr. *[Community Mentor's Name]* located at *[Research project Location]* and will conduct research on specified tasks: *[list of specific tasks]*.

#### 1. Orientation

The successful applicant (**Delta Science Fellow**) will attend:

(a) Program Orientation

- Attendance at the Delta Science Fellowship Orientation/Early Career Leadership Workshop (if offered)

(b) Project Orientation

This will include in-depth conversations between the research and community mentors and the **Delta Science Fellow**. Mutual expectations will be discussed and agreed upon in advance. Orientation topics will include (a) the amount of independence the **Delta Science Fellow** requires, (b) interaction with coworkers, (c) productivity including the importance of scientific publications, (d) work habits and laboratory safety, and (e) documentation of research methodologies and experimental details so that the work can be continued by other researchers in the future.

**2. Career Counseling** will be directed at providing the **Delta Science Fellow** with the skills, knowledge, and experience needed to excel in his/her chosen career path. In addition to guidance provided by the research mentor, the **Delta Science Fellow** will be encouraged to discuss career options with researchers and managers at the *[Research Institution]* and the *[Community Mentor's Agency Name]*.

**3. Experience with Preparation of Grant Proposals** will be gained by direct involvement of the **Delta Science Fellow** in proposals prepared by the *[Research Institution]*. The **Delta Science Fellow** will have an opportunity to learn best practices in proposal preparation including identification of key research questions, definition of objectives, description of approach and rationale, and construction of a work plan, timeline, and budget.

**4. Publications and Presentations** are expected to result from the work supported by the Fellow award. These will be prepared under the direction of *[Research Mentor's Name]* and in collaboration with other researchers as appropriate.

The Fellow is also expected to present project results at the Bay-Delta Science in at least one of the years of the Fellowship. In addition, although not mandatory, the Fellow is encouraged to present research results at the State of the Estuary Conference. Attendance of the annual meetings of the California Water Environment Modeling Forum (CWEMF) and/or the Interagency Ecological Program (IEP) Workshop as well as of appropriate IEP technical team meetings (PWTs, see <https://water.ca.gov/Programs/Environmental-Services/Interagency-Ecological-Program>) is also encouraged.



**5. Teaching and Mentoring Skills** will be developed in the context of regular meetings within the *[Research Institution]* research group during which graduate students and postdoctoral researchers describe their work to colleagues within the group and assist each other with solutions to challenging research problems, often resulting in cross fertilization of ideas.

**6. Instruction in Professional Practices** will be provided on a regular basis in the context of the research work and will include fundamentals of the scientific method, and other standards of professional practice. In addition, the **Delta Science Fellow** will be encouraged to affiliate with one or more professional societies in his/her chosen field and to attend meetings of the professional society.

If offered, participation at the Delta Science Fellowship Orientation/Early Career Leadership Workshop organized by California Sea Grant and the Science Program is expected. This training will include: planning your research career, proposal writing, communicating science, the science-policy interface, and more.

**7. Technology Transfer/Outreach** activities will include regular contact with scientists/managers at the *[Community Mentor's Agency Name]*. The **Delta Science Fellow** will be given an opportunity to become familiar with the university-agency-private sector relationship including applicable confidentiality requirements.

**8. Success of the Mentoring Plan** will be assessed through a process established at the beginning of the fellowship. The Science Program encourages evaluation and monitoring of the Delta Science Fellow's personal progress and his/her impacts to the science needs. Tracking of the progress toward his/her career goals after finishing the postdoctoral program should also be included.