



Washington Sea Grant
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Conditions, Procedures, and Policies for Research Projects Funded by Washington Sea Grant

This document contains important information about the conditions, procedures, and policies that apply to research projects supported by Washington Sea Grant (WSG) under National Oceanic and Atmospheric Administration (NOAA) Award NA14OAR4170078 and other funding sources. Please review this document carefully and retain it for reference throughout your research project. We encourage you to contact WSG at any time if you have problems or questions.

I. Grant Administration

Grant Administration Contact Information:

Penny Dalton, Director
Gwyn Hinton, Administrator
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E-mail: wsgres@uw.edu
Website: wsg.washington.edu

A. Project Oversight and Account Establishment

While WSG receives funding from a number of federal and state sources, most of the fiscal resources that support its research program come from NOAA through grants to the University of Washington (UW). For this reason, all WSG fund recipients, including subawardees, are subject to federal cost accounting requirements and NOAA standard award terms and conditions. It is the responsibility of each research project Principal Investigator to understand and adhere to these terms, conditions, and requirements, as well as those of the host institution regarding allowable use of project funds.

As the Principal Investigator, you are accountable for the project's overall progress, administration, and budget. It is also the responsibility of the Principal Investigator to ensure that the project meets any applicable animal care or human subject requirements and to obtain necessary approvals from his or her institution's IACUC or IRB office prior to the initiation of the project. Copies of approvals, including modifications to existing protocols or approvals, must be submitted to WSG for their award records.

Project funds generally are issued annually, however, release will depend on the timing and amount of funds WSG receives from NOAA and be based on awarded budgets and timelines. WSG reviews all project budgets, cost share, and progress reports prior to release of

continued funding. Please be proactive in communicating with the Director about any issues that may affect the progress, scope or budget of your project.

For projects with a UW Principal Investigator, UW's Grant and Contract Accounting office will establish a budget number according to the approved budget and award dates. For a non-UW Principal Investigator, the UW Office of Sponsored Programs will initiate a subaward with the investigator's institution.

B. Multi-Investigator or Institution Projects

In cases where a project includes subawards to other institutions, or funding is split among several institutions, the Principal Investigator is responsible for the conduct of the project as a whole. She or he should maintain close contact with all associate and co-principal investigators in order to ensure that steady progress is made toward completing project objectives and that progress reports, final reports, and required financial documentation cover all portions of the project.

The Principal Investigator is responsible for distributing project-related correspondence (including the Letter of Award and this document) to any associate or co-principal investigators. All project-related requests should be endorsed and submitted to WSG by the Principal Investigator.

Projects funded among multiple state Sea Grant programs may have special award requirements, which will be determined on an individual project basis.

C. Cost-Share

Federal requirements stipulate that projects must document and report the expenditures that have been committed as cost-share or matching funds as they occur throughout the year. WSG's expectation is that this will be done quarterly. For projects located at UW, faculty effort certification is processed on-line and reported to the UW Office of Management Accounting and Analysis; other types of cost share are submitted to UW Grant and Contract Accounting.

Cost share must be met through the use of non-federal sources and is subject to the same compliance and audit requirements as direct charges to federal awards. It is the Principal Investigator's responsibility to ensure compliance and accurate record-keeping for all funds or transactions reported as cost share on a WSG project. The WSG Administrator will work with you to address any cost share questions.

Cost-share documentation must be up-to-date before WSG considers grant action on the project, including transfer of subsequent funding or extension requests. This requirement may also extend to other WSG proposals or activities for which the Principal Investigator is responsible. If the cost-share commitment in the approved project budget is not met, WSG may be required to reduce the federal share of the award proportionately and, if necessary, retroactively.

D. Modification of Project Scope and Personnel

The approved proposal, timeline, and agreed-upon responses to reviews constitute the scope of work for WSG projects. Written approval from the WSG Director is required before changes are made to this scope of work (including subawards) or to senior personnel (including grantee organization, percentage time, sabbaticals or other leaves of absence).

To request a project modification, a Principal Investigator must contact the Director and provide a written explanation that justifies the proposed change and the impact on the project's progress and results. If replacement of senior personnel are proposed, include a biographical sketch and a description of the work they will be performing. In some situations, WSG may need to contact the National Sea Grant Office for concurrence.

E. Budget Management

Prior approval from the WSG Director is also required for significant budget modifications. To obtain an approval, the Principal Investigator should submit the following information:

1. WSG project number and project title
2. UW budget number or subaward number
3. Details of, and a justification for, the proposed changes by budget category (salaries, supplies, equipment, travel, other, indirect costs)
4. A comparison of the original and new budget by line item in a spreadsheet format.

Principal Investigators must ensure proper oversight and handling of their project award. Deficits (including cost share) or project cost overruns are the responsibility of the Principal Investigator's department or organization and cannot be absorbed by WSG. All deficits must be cleared prior to the expiration of the project.

F. Equipment

Principal Investigators must request prior approval from WSG for any permanent equipment purchase that was not included in the approved budget for the project. If the unit cost is in excess of \$5,000, WSG is required to obtain prior approval from NOAA. Classification as "permanent equipment" may vary among institutions. For projects located at UW, the term applies to equipment having a value equal to or in excess of \$2,000, and a life expectancy of one year or longer. Permanent equipment purchased with WSG funds must be managed and tracked through appropriate property inventory control systems in accordance with the practices of the investigator's institution. Investigators must have prior written approval from WSG to make any permanent equipment purchases within 90 days of the expiration date of the project award.

Purchase, rental or repair of general-purpose equipment requires prior approval regardless of the amount of the expenditure. General-purpose equipment includes any item that is usable for activities of the institution other than research (e.g. office equipment and furnishings, computer or reproduction equipment, refrigerators, motor vehicles).

Expendable equipment purchases of less than \$2,000 per unit are considered supply items, and should be processed and billed as such.

G. Foreign Travel

Principal Investigators must request prior approval from WSG for any foreign travel that was not itemized (location, date of trip, estimated cost identifying airfare, and per diem) in the original NOAA-approved project proposal and budget. Foreign travel requires NOAA approval, so WSG will need a written request at least 60 days PRIOR to the departure date, with justification that provides the following:

1. Project title and Principal Investigator
2. Traveler name
3. Travel dates
4. Origin and destination of the travel
5. A detailed itinerary with the name of the air carrier and flight number for each leg of the trip
6. Completed documentation for a Fly America Act waiver (to be discussed with WSG prior to submission of request) if no U.S. carriers are available and a foreign carrier is to be used for any portion of a trip. The Fly America Act mandates that all foreign travel funded by federal dollars use U.S.-certificated air carriers unless a reasonable exception applies. Grant funds cannot be used to reimburse any travel expenses that are not in compliance with the law.

H. Subawards

Principle Investigators must request approval from WSG prior to generating any subawards (excluding those for standard goods or services) that were not described as part of the approved proposal. The request should describe the proposed scope of work to be accomplished by the subawardee, how the subawardee was selected, why a subaward is the best course of action, the name and expertise of the subawardee, the amount of funds to be awarded, a detailed budget and budget justification, and the impact on the overall project budget.

I. No-cost Extensions

Investigators are expected to adhere to the project's approved timeline and to complete the project by the award end date. When circumstances prevent this, the Principle Investigator must submit a written request to the Director for an extension without additional funds (no-cost extension). Projects cannot be extended merely to allow recipients to spend remaining funds. Extensions may be one-time or may be approved incrementally. In most cases, an extension should not exceed the original project end date by more than one year. The Director's ability to approve a request for a no-cost extension may be limited by conditions and limitations established in WSG's parent award.

Requests should be submitted at least 30 days before the project expiration date. Prior to submission, the Principal Investigator should verify that all cost-share documentation and required reports are up-to-date. To request a no-cost extension, please send an email with the following information to pdalton@uw.edu and wsgres@uw.edu:

1. WSG project number and project title
2. UW budget number or subaward number
3. Current and requested end dates

4. One or two paragraphs that:
 - summarize project progress to date
 - detail the reasons for the requested extension
 - outline expected outcomes the extension will support, any new project directions, and any impact on the project objectives.

J. Other Federal Requirements

In addition to the standard cost principles and regulations affecting institutions receiving federal funds (including applicable OMB circulars and Department of Commerce Financial Assistance Standard Terms and Conditions), investigators and their institutions are reminded that:

1. Expending federal (WSG) 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 prohibited.
2. Neither WSG funds, nor funds proposed as cost-share for WSG-supported projects, may be used for the construction or purchase of a dock, building, vessel, or vehicle, nor any renovation or alteration of an existing structure.
3. Food purchases are not an allowable use of WSG funds; meeting costs and catering services, membership dues, and subscriptions are not allowable unless specifically requested in the approved budget justification.

II. Communications, Outreach, and Publications

Communications Contact Information:

MaryAnn Wagner, Assistant Director of Communications

Marcus Duke, Information Specialist

Phone: 206.543.6600

E-mail: maryannb@uw.edu

Website: wsg.washington.edu

A primary goal of WSG and the National Sea Grant College Program is to share knowledge developed for use in the marine and coastal environment. National policies and evaluation criteria provide strong incentives for WSG and other state programs to ensure Sea Grant-funded researchers publish their project findings and distribute them to as wide an audience as possible.

A. Communications and Outreach

WSG invites Principal Investigators to discuss their project activities and results with WSG outreach, communications, and education staff. WSG staff are available to share their expertise and Investigators are strongly encouraged to work with WSG to reach stakeholders, resource managers, media, and the public. The exposure can be valuable to both WSG, project researchers and students, and has become an increasingly important gauge for WSG program

success.. It is critical to WSG’s visibility and funding outlook that investigators clearly acknowledge Sea Grant support in all materials produced and in conversations with outside constituents..

WSG outreach specialists welcome opportunities to work with research teams on their engagement plans at all stages, from project award until after completion. Investigators are encouraged to contact WSG for assistance with outreach meetings or activities that they may wish to initiate themselves. Investigators also are likely to be asked to participate in WSG-planned workshops, seminars, and other meetings to share information and expertise relevant to their projects.

WSG Communications keep the public informed about your funded research projects and actively promote projects through the Sea Star newsletter, the WSG website, news releases, and social media opportunities. As a research project progresses, investigators will be contacted by WSG communications staff to contribute photo updates and postings for social media channels and to provide the latest research findings for Sea Star articles and the website. WSG communications staff also can help the research team prepare magazine articles and news releases about their work and assist in preparing for and interacting with news media. If contacted by the media, investigators should notify the WSG Assistant Director of Communications immediately to coordinate and make most effective use of the media opportunity. If requested, staff also will assist investigators in preparing materials for professional papers and presentations, publicizing conferences and workshops, and photographing or videotaping their work. WSG welcomes opportunities to attend investigator and student presentations on their WSG-funded work. Advance notification is much appreciated.

B. Publications and Products

As you know, publication of research results in peer-reviewed journals and proceedings is becoming an increasingly important metric for evaluating research programs and WSG is no exception. Investigators and students should plan to publish the results of their WSG-funded work in an appropriate scholarly or informal format and it is essential that WSG and NOAA are properly acknowledged in all materials that are published as a result of the project. In addition, WSG must be notified of these publications (even after the project has ended). If you are interested in developing a publication (book, technical report, bulletin) under WSG auspices, please consult with the WSG Assistant Director of Communications..

All print and electronic publications resulting fully or partially from WSG funding should acknowledge that support with the following statement:

“This work [report, activity, publication] was funded [in part] by a grant from Washington Sea Grant, University of Washington, pursuant to National Oceanic and Atmospheric Administration Award No. NA14OAR4170078 [other grant number]. The views expressed herein are those of the author(s) and do not necessarily reflect the views of NOAA or any of its sub-agencies.”

If the publication does not lend itself to the above statement, as may be the case with a workshop agenda, poster or presentation, the WSG logo should be incorporated into the

design. WSG has high quality logos: contact WSG Communications to obtain one for use or to ask questions about the acknowledgment statement or federal award numbers.

Investigators are required to provide WSG with copies of both print and electronic publications resulting from WSG project investments, including those produced after the project has ended. New project-related papers, reports, and other documents should be reported to sgpubs@uw.edu as they are published and not wait for the annual reporting cycle. Copies of publications provided to WSG are posted on the WSG website; sent to the National Sea Grant Office; added to the collection of the National Sea Grant Library (nsgl.gso.uri.edu); and may be submitted for consideration to the NOAA Central Library (www.lib.noaa.gov). To meet these distribution requirements we require investigators to submit the following:

- Published journal articles, book chapters, proceedings, technical reports, and advisory publications – 6 reprints and, if available, 1 PDF copy
- Magazine articles – 1 original copy and 6 photocopies
- Theses/dissertations – 6 hardcopies of the abstract, cover page, and signature page
- Electronic publications – URL or PDF, as well as 6 copies of any physical product (e.g., CD or DVD)

Contact WSG Communications for other publication format reprint requirements.. For all submissions, investigators must identify the WSG project number associated with the publication.

III. Progress, Completion, and Post-Project Reports

Reporting Contact Information:

Kate Litle, Assistant Director of Outreach

Phone: 206.543.6600

E-mail: klittle@uw.edu

Website: wsg.washington.edu

Principle Investigators are required to provide WSG with progress, completion, and post-project reports that are used in program management at local, state, and national levels. The reports are WSG's primary mechanism for evaluating project progress, informing action related to project continuation, and tracking publications, theses, and application of results. In addition, they are used in developing outreach products, including WSG website updates, Sea Star articles, and media releases. The reports are the basis for WSG's required reporting to the National Sea Grant Office, evaluating research investments, developing WSG program impacts, and meeting performance measures. The reports form the basis for information entered into a national database that is used to evaluate the productivity of the National Sea Grant College Program and set national priorities and funding levels.

Below is a list of required project reports:

1. **Annual Progress Reports.** At the end of every funding year, Principal Investigators must report on the results from the preceding grant year. Investigators also must report all presentations, interactions, and media interviews.
2. **Final Project Reports.** At the end of the project, two reports are required:

- **Final Annual Report** summarizes the results of the final grant year of the project (or part of the year since the last annual progress report).
 - **Project Completion Summary Report** provides a lay summary of the entire project. This report will be submitted by WSG to the National Sea Grant Office and will be available to the public.
3. **Post-Project Follow-Up Reports.** Upon request, principle investigators are required to provide brief follow-up reports to inform WSG of project results, publications, products, interactions, impacts, and benefits that occurred after the project award period ended.

Report templates and instructions for their completion will be provided to the Principal Investigator in advance of the due dates. National Sea Grant reporting requirements change annually and those changes will be reflected in the WSG reporting guidance. WSG may withhold project funds if appropriate documentation or required reports are not provided by stipulated deadlines.