I. Grant Administration

A. Account Establishment

The project’s lead principal investigator is responsible for the overall progress, administration, budget, and will be NYSG’s point of contact regarding the conduct of the project. NYSG may also establish direct contact with Grants and Sponsored Programs Offices on behalf of the project, as necessary.

If the project is located at a State University of New York (SUNY) campus, the Research Foundation for SUNY will establish a campus account according to the approved budget and award dates. If the project is located at a non-SUNY institution, the Research Foundation for SUNY will initiate a subcontract with the investigator’s institution (or modify an existing contract to that institution, if applicable). NYSG’s “Letter of Award” will serve as authorization to begin (or continue) the project and incur expenses accordingly.

In the rare instance that a project has two or more institutions receiving funds directly from NYSG, each with a separate scope of work, each institution’s account will be established by NYSG with the same start and end dates.

B. Multi-Investigator Projects

In cases where a project includes subcontracts to other institutions, or is split-funded among several institutions, the lead principal investigator is still responsible for the conduct of the project as a whole. The lead principal investigator should maintain close contact with all co- and associate investigators in order to ensure that steady progress is made toward completing proposed objectives, and that progress reports and required financial documentation cover all portions of the project.

The Grants and Sponsored Programs Offices and lead principal investigator are responsible for distributing project-related correspondence (including the Letter of Award and this document) to any co- or associate investigators. All project-related requests should be endorsed and submitted to NYSG by the lead principal investigator and/or the Grants and Sponsored Programs office, as appropriate per campus policy.

A project jointly funded by NYSG and another state Sea Grant program may have special reporting requirements, which will be determined on an individual basis, with each organization being allowed to review and approve acceptance of these requirements.

C. Budgetary Matters

Investigators may transfer funds among direct cost categories without prior approval from NYSG, as long as the cumulative amount of such transfers does not exceed ten percent (10%) of the total award (excluding
cost-share funds) and the changes are not prohibited or otherwise require prior approval by NYSG, as described below.

Once a budget has been awarded, transfers of funds between direct and indirect costs (aka “facilities and administrative costs”) are allowable without prior approval when they are the result of budget changes among direct cost categories. Such transfers cannot be made in response to a change in the institution’s indirect cost rate.

1. Equipment

Lead principal investigators must request prior approval from NYSG for permanent equipment purchases that have not been previously budgeted for the project. “Permanent equipment” is defined as having a value equal to or in excess of $5,000, and a life expectancy of at least one year. “Expendable equipment” purchases of less than $5,000 per unit are considered supply items, and should be processed and billed as such, unless the investigator’s institution has a lower value permanent equipment threshold.

Investigators must have prior written approval from NYSG to make any permanent equipment purchases within 90 days of the expiration date of an award.

Permanent equipment purchased with NYSG funds must be managed and tracked through appropriate property/inventory control systems in accordance with the practices of the investigator’s institution.

2. Foreign Travel

Investigators must request approval from NYSG to use funds for foreign travel not designated in the approved budget. In all cases where NYSG funds support approved foreign travel, investigators must adhere to the Fly America Act (http://www.gsa.gov/portal/content/103191).

3. Subcontracting

Lead principal investigators must request approval from NYSG prior to generating any subcontracts (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 subcontractor, how the determination was made that a subcontract is the best course of action, the name and expertise of the subcontractor, the amount of funds to be subcontracted and the impact on the overall project’s budget.

4. Other Federal Requirements

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

a. Expending federal (NYSG) 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; and

b. NYSG funds, or any funds proposed as cost-share for NYSG-supported projects, may not be used for the construction or purchase of a dock, building, vessel, or vehicle, nor any renovation or alteration of an existing structure.

D. Cost-Share

Federal requirements stipulate that projects must document the expenditures that had been proposed as cost-share (aka matching funds) as they occur throughout the year. NYSG’s expectation is that this will be done
at least quarterly. The full amount committed is generally expected to be documented within 60 days of the original end date of each year's award.

Cost-share documentation must be up-to-date in order for NYSG to consider any other grant actions on a project requested by the lead principal investigator. This condition also extends to requests related to other proposals or activities as made by any of the project’s investigators. If the amount of cost-share proposed in the project's budget is not met, NYSG may reduce the federal share of an award proportionately and retroactively.

For questions, please contact New York Sea Grant’s fiscal officer- JeanAnn Johnston At 631-632-6908 or jean.johnston@stonybrook.edu

E. Scope of Work

The approved proposal, timeline, and agreed-upon responses to reviews, constitute the scope of work for NYSG-funded projects. An investigator may not change the scope of work of the project (including any project subcontracts) without the specific and prior written approval of NYSG. The lead principal investigator must contact NYSG to explain and justify any proposed change, and indicate the impact on the project’s progress and results. If supportive of the change, in most cases NYSG is also required to obtain prior written approval from the National Sea Grant Office.

F. Status / Location of Investigators

If any project investigator will be on leave (sabbatical, leave of absence, or other) or plans to change institutions during the period of this award, the lead principal investigator’s Grants and Sponsored Programs Offices must contact NYSG immediately to describe and determine this action's impact on the project. Written approval by NYSG is required for an investigator who is on leave or who relocates to another institution to remain a named investigator on the award. In some situations, NYSG may need to contact the National Sea Grant Office for concurrence or for the appointment of an interim principal investigator.

G. 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. When circumstances prevent this, the lead principal investigator’s Grants and Sponsored Programs Offices must submit a written request for an extension without additional funds (referred to as a no-cost extension or NCE).

A request for a NCE should be submitted at least one month prior to the project’s original expiration date, and it must be accompanied by a progress report (see Section III for format). The NCE request must be submitted as a separate document, not as part of the progress report. Section G.2., below, describes the required contents of a NCE request. That funds may be remaining in a grant is not, in itself, a justifiable reason for requesting a NCE.

If a Sea Grant Scholar started on the project later than originally scheduled, the lead principal investigator’s Grants and Sponsored Programs Offices can ask that the Scholar Fellowship be extended as described in Section IV.D.3.
1. Terms of a NCE

A NCE is typically limited to no more than 1/3 of the original project’s length (e.g., 8 months for a two-year project). NYSG’s ability to approve project NCE requests may be limited by conditions and limitations established for the overall award from the federal sponsor out of which the project sub-award was made.

A project remains subject to the original terms of the award during the NCE period. Complete cost-share documentation for the final project year is still due within 60 days of the original term date of the award, regardless of the length of the NCE granted. Additional cost-share (if any) provided for the project during the NCE period must be reported to NYSG within 60 days of the NCE term date.

Depending on the length of the NCE, the lead investigator may be required to submit additional progress reports, as needed. The lead investigator will be contacted approximately 60 days after the NCE period for the required completion report detailing the results of the work.

2. NCE Request Checklist

The lead principal investigator will be sent a notification with the NCE Guidelines, checklist and NCE request form before the end of the project.

- Must be submitted by lead principal investigator’s Grants and Sponsored Programs Offices
- Must describe:
  ____ how and why progress has been delayed
  ____ which objectives have not yet been completed and a new timeline for their activities
  ____ how remaining funds will be used (provide dollar amounts)
  ____ if applicable, includes justification for the extension of a Sea Grant Scholar (see Section IV.D.3.)
- Cost-share documentation for NYSG projects of all affiliated investigators must be up-to-date
- Progress report must accompany the NCE request as a separate document
- Progress and/or completion reports for NYSG projects of all affiliated investigators must be up-to-date
- Should be received by NYSG at least one month prior to the original project term date to ensure timely review.
- NCE requests should be sent to:
  Lane Smith  
  New York Sea Grant  
  125 Nassau Hall  
  Stony Brook University  
  Stony Brook, NY 11794-5001  
  Email: lane.smith@stonybrook.edu

Once a NCE request is received, NYSG staff will review the request and respond to the lead investigator’s Grants and Sponsored Programs Offices with a decision as soon as possible (usually within three to four
weeks). Requests that are late in submission, incomplete, or that require further clarification or justification, will require additional time.

---

**H. Project Outreach, Presentations, Interactions, and Interviews**

A primary goal of the National Sea Grant College Program and NYSG is the dissemination of results of Sea Grant-funded research and their ultimate use by coastal audiences. While promoting and tracking the use of research results is an important function of NYSG’s staff, the investigators themselves are also expected to have an active role.

Principal investigators of research projects funded under this award must develop with NYSG staff an outreach plan within two months of the start of the project. The outreach plan is to be implemented throughout the duration of the project. The outreach plan should be customized for the specific funded project and use tools and methods and target the most appropriate audiences to maximize the potential impact and use of the project results. Outreach plans can include a variety of tools and activities in any combination, including workshops, talks, social media, websites, articles, videos or other ideas developed in the plan.

Investigators and Sea Grant Scholars are required to discuss their project activities and results with NYSG research and extension staff upon request, and are encouraged to share information on project activities, findings and results with stakeholders, other scientists and the media. Project personnel, including students and Scholars are encouraged to present project results to peers through meetings of scientific societies and technical symposia. Such exposure can be very valuable to the investigators and NYSG, and has become increasingly important. Also, investigators may be asked to participate in specific workshops, seminars, and other meetings conducted by NYSG to share information or expertise relevant to their projects. At such events, reference to NYSG’s funding support is expected. If you need a NYSG image such as a logo, contact Communications at (631) 632-6916. Communications may also contact you to schedule a reporter interview or to ask for images.

NYSG can help facilitate continued interactions between investigators and stakeholders after the project’s completion. Also, NYSG’s research, extension, and communications staff members will contact the lead principal investigator from time to time regarding additional tech transfer or outreach activities. If they are contacted by the media, investigators are encouraged to touch base with NYSG’s Communications Manager for helpful tips and/or assistance. Principal investigators are welcome to contact NYSG for assistance with outreach meetings or activities that they may wish to initiate themselves.

**I. Publications and Products**

NYSG expects that investigators and Sea Grant Scholars will publish the results of NYSG-funded work in peer-reviewed journals, proceedings, trade press, etc. Whether or not publication funds are requested from NYSG, it is expected that NYSG support will be acknowledged in all resulting publications, and that NYSG will be notified by the project personnel of these publications (even after the project has ended).
1. NYSG Acknowledgement

NYSG must be acknowledged within the publication or product by inclusion of this statement:

“This [report/publication/] is a product resulting from project [NYSG project number, e.g., R/ABC-1] funded under award NA14OAR4170069 from the National Sea Grant College Program of the U.S. Department of Commerce’s National Oceanic and Atmospheric Administration, to the Research Foundation for State University of New York on behalf of New York Sea Grant. The statements, findings, conclusions, views and recommendations are those of the author(s) and do not necessarily reflect the views of any of those organizations.”

If questions about the acknowledgment statement arise, the lead principal investigator should contact NYSG’s Communications staff for advice.

If you expect to have a publication in a major journal (e.g., Science, Nature), please contact NYSG Communications prior to its appearance and arrange to send Communications the embargoed press release if one is available.

2. NYSG Financial Support Available for Journal Articles

If the NYSG project budget included funds for reprints, page charges or open access, the investigator must exhaust those funds prior to requesting page costs, reprint or open access funds from NYSG. Otherwise, NYSG will provide financial support for the publication of journal articles in the following ways:

a. **Page charges:** NYSG’s Communications Office will provide funds to cover page charges. Because funds are limited, investigators are asked to seek a waiver of page charges from publishers prior to seeking support from NYSG. Knowing that journal waivers are not always possible, the total cost for page charges can be billed to NYSG, even if the project has already terminated.

b. **PDF Reprints and Open Access:** At the time of the reprint order request, the lead principal investigator should inform NYSG Communications of the availability of an on-line pdf version for the requested reprint. Many journals now provide a free link to the pdf or the pdf for a fee which varies from journal to journal. Many journals also provide open access to articles for a fee. NYSG will cover the cost of the pdf and/or open access fees depending upon availability of funds.

3. Requesting NYSG Support for Journal Articles

At any time during the project or after its completion, NYSG investigators should forward the following items to NYSG’s Communications staff when publishing in a journal:

a. The email confirming acceptance of the article for publication from the publisher;

b. The email must specify: 1) the name of the journal in which the article will appear and the title of the article; 2) whether or not a pdf or open access is offered; 3) the NYSG project number (on the cover page of this document) that funded the work.

If tight deadlines preclude submission of the above-listed items, the lead principal investigator must call the Communications staff to make other arrangements.

4. NYSG Support of Other Publications

Publications of NYSG projects other than journal articles may necessitate the use of the NOAA and NYSG logos and disclaimers and must be discussed with NYSG’s Communications Manager.
Under special circumstances, NYSG may consider publishing work as a technical report. Lead principal investigators wishing to explore this possibility should contact the Communications staff for more information.

II. Progress, Completion, and Post-Project Follow-Up Reports

Lead principal investigators are required to provide reports as specifically requested by NYSG staff. The approximate reporting schedule is described in the project’s “Letter of Award” or subsequent documentation. Progress reports covering specific time intervals are important in NYSG's decision and actions regarding the continuation of the project, and to keep other sponsors of the work informed. A completion report summarizing the full duration of the supported project is required within ninety (90) days after the termination of the project. Guidelines, details and required formats for these reports will be provided to the lead principal investigator in advance of their due dates via email.

Since post-project follow-up documentation of project results, impacts and benefits is critical to NYSG, contact with investigators will continue for some time beyond the completion of the funded project. At NYSG’s request, lead principal investigators are requested to complete brief “Post-Project Follow-Up Surveys”, to provide NYSG with information on new publications, scholar updates and project impacts. NYSG needs to know who has utilized the project’s results and what benefits accrued.

The submission of required reports must be up-to-date in order for NYSG to consider any further grant actions on a project or as requested by the lead principal investigator. This condition also extends to actions or requests related to other proposals or activities as made by any of the project’s investigators.

III. Sea Grant Scholar Fellowships

The Sea Grant Scholar Fellowship Program is intended to promote education, training and research in fields related to coastal resources. The Sea Grant Scholar Fellowship awards are a mechanism through which NYSG stimulates study and provides support, in the form of a stipend, to graduate students who carry out research relevant to projects funded through its program. NYSG recognizes that Scholars themselves constitute one of its most important products: a cadre of trained individuals who in their subsequent careers can provide a leadership role in the development and wise utilization of marine and coastal resources.

The Scholar’s activities are specifically identified and justified within the project proposal to NYSG, and funds for the Sea Grant Scholar Fellowship award are requested and matched as part of the overall project’s budget. Prior to or concurrently with the initiation of the project, the Scholar must be identified by the investigator(s) and then appointed by NYSG. Appointment forms are provided to the project’s lead principal investigator with each year’s Letter of Award.

The lead principal investigator for the project is fully responsible for the Sea Grant Scholar Fellowship award and its requirements, and for overseeing the supervision of the Scholar.

For questions, please contact New York Sea Grant’s fiscal officer- JeanAnn Johnston At 631-632-6908 or jean.johnston@stonybrook.edu

A. Eligibility

A Sea Grant Scholar must be registered as a full-time student in an approved graduate program working toward a recognized degree, under the supervision of one of the project’s principal investigators. A Scholar
must remain in good academic standing at their institution and within their degree programs, carrying out
their projects diligently and making good progress toward the completion of a thesis, dissertation or
equivalent research paper. A Scholar must maintain his/her award recipient eligibility throughout the
duration of the Fellowship. If a student does not fulfill the eligibility standards (e.g., graduates or,
conversely, fails to make progress), the Sea Grant Scholar Fellowship award will be terminated. It is the
responsibility of the project's lead principal investigator’s Grants and Sponsored Programs Offices to notify
NYSG of such status in writing.

A Sea Grant Scholar is expected to work as a creative member of the project research team (not simply a
laboratory helper or inexpensive laborer). The Scholar is not considered an employee and no hourly
requirements are to be set for their work. The primary activities of all Scholars should be working on the
project, learning and pursuing their degree.

NYSG does not provide part-time Sea Grant Scholar Fellowships. While NYSG will not prohibit the student
from receiving supplemental support, the Fellowship will not be reduced to reflect a part-time status. If
significant additional funding for student support is available, the lead principal investigator may request to
shift the Scholar Fellowship to another person, following the policies and procedures detailed elsewhere in
this document.

B. Funding

When the project award is made, the investigator’s account will not include funds proposed for Sea Grant
Scholar Fellowship stipends. Those funds are “withheld” and Sea Grant Scholar payroll distribution is
managed directly by NYSG. Any funds for Scholars are specified on the project’s Award Acceptance Form,
and also appear separately at the bottom of the project’s budget page.

Sea Grant Scholar Fellowship stipends are pre-determined by the principal investigator(s) of the project, and
are based on the prevailing rates of the student's department at the time the project’s budget was submitted to
NYSG for funding consideration. Biweekly checks paid at the rate specified in the project’s approved
budget will be issued to each appointed Scholar.

The Scholar’s stipend is fixed at the amount requested in the approved proposal budget.

C. Appointment

Scholar appointment forms are sent to the lead principal investigator along with the “Letter of Award” if the
project has proposed a Sea Grant Scholar Fellowship stipends. The appointee must complete and return these forms to the lead
principal investigator, who must forward them to NYSG for approval and processing. If the Sea Grant
Scholar Fellowship does not begin as proposed on the start date of the project, the lead principal investigator
must notify NYSG in writing, describing what impact, if any, the reduced Scholar contribution will have on
the overall project, and how this will be remedied (see also Section IV.D., below).

It is the lead investigator’s responsibility to ensure that the Scholar’s appointment package is returned to
NYSG in a timely manner. Payroll advances are not possible.

D. Duration

A standard Sea Grant Scholar Fellowship for a two-year project will run for two consecutive 12-month
appointments, which are expected to coincide with the project’s start and end dates. If this is not feasible for
the project, the following options can be considered:
1. **Delaying the Start of the Project**

   Since the Scholar is intended to be an integral part of the research team, it may be necessary to briefly delay the start of the research project until the Scholar is available. This would require a re-evaluation of the project’s timeline, and may be subject to NYSG funding time limitations.

2. **Beginning the Project as Scheduled**

   The lead principal investigator may elect to begin the project as scheduled, under options a. or b. below:

   a. Divide a late-starting fellowship among more than one individual (e.g., appoint two, 6-month Scholars in the first year) to keep the project’s timeline on track. To afford the most benefit to students moving forward in their degree programs, Sea Grant Scholar Fellowship appointments must be at least one semester in duration.

   b. Appoint the Scholar at a later date. In this case, the duration of the Scholar’s appointment will be shortened (and the total stipend reduced commensurately) to coincide with the project’s end date. If the project’s lead principal investigator requests and justifies the need for a no-cost extension of the project, (see Section I.G.) NYSG will also consider extending the Sea Grant Scholar up to the original proposed duration, if requested and justified (see Section IV.D.3., below). The student must still be eligible to receive continued Scholar support.

3. **Extension of Sea Grant Scholar Fellowships**

   If the project’s lead investigator began the support of a Sea Grant Scholar after the project’s start date, an extension of the Sea Grant Scholar Fellowship up to the original proposed duration may be possible only if requested and justified as part of the No-Cost Extension (NCE) request for the project (see Section I.G.). The NCE request should include specific information regarding which project objectives the Scholar will be working on, the time period this support is expected to cover (cannot exceed the original proposed duration of the fellowship), and an update on the Scholar’s anticipated thesis, dissertation, or graduation dates.

4. **Providing Scholar Support from Remaining Project Funds**

   An investigator may also request to return unobligated grant funds to NYSG to continue support of a previous Sea Grant Scholar who has otherwise received his/her full stipend during the grant period, but who is still working on objectives of the NYSG project. Investigators interested in this possibility should contact NYSG’s Research Coordinator (lane.smith@stonybrook.edu).

**E. Tuition / Fees / Waivers**

Requests for funds to cover tuition and/or miscellaneous university fees payable by Sea Grant Scholars are not allowable in the NYSG research project budgets.

   Tuition waivers may be available to Sea Grant Scholars, depending upon local campus policy. It is the responsibility of the project’s principal investigator(s) and Scholar to determine whether this is available from their campus.

   Tuition costs are allowable as cost-sharing for federal funds under a NOAA award as long as they directly benefit the project for which they are being used as cost-sharing. This direct benefit to the project should be specifically addressed in the budget justification of the project’s proposal. The requirements regarding documentation and verification of these costs and how they are applicable to the project are the same as if they were paid from the NYSG portion of the project’s funds.
F. Taxes

Sea Grant Scholars are considered “Fellows” by the Research Foundation for SUNY. A Fellow is not an employee, and the stipend received is not considered “pay” for services. At the end of the year, Scholars will not receive a W-2 statement; however, they will receive a letter from the Research Foundation for SUNY stating the amount of money they have received from the Fellowship during the previous 12 months. It is the Scholar’s responsibility to report any of this amount which is considered “income” to the IRS (this does not apply to foreign/nonresident alien students... see next paragraph). Scholars are encouraged to speak to their tax advisors regarding this matter. If the Scholar does not have a tax advisor, he/she may contact the Research Foundation Human Resource Services - Payroll Department, at 631-632-9314, for more information.

A Sea Grant Scholar Fellowship stipend may or may not be tax-exempt for a foreign student, depending on whether the Scholar’s country has a tax-exempt treaty with the United States, and whether fellowships are included in that treaty. The Payroll Department (see above) can help to determine the Scholar’s status if the information is otherwise unavailable.

If a foreign student Scholar cannot prove that his/her stipend is exempt from taxes, the stipend will be charged withholding tax at the rate of 14%. The foreign student Scholar will receive a Form 1042S at the end of the year, regardless of whether or not a tax treaty exists, for use when filing a tax return (in consultation with a tax advisor).

G. Health Insurance

Sea Grant Scholar Fellowship stipends do not incur costs to cover fringe benefits. Health insurance and other “employee benefits” are not part of the Fellowship award.

As a current student, a Scholars may be eligible for health services through their local campus infirmary or through a health insurance plan for students. Some Scholars may also be eligible for insurance under existing plans held by their spouses or parents. Scholars are strongly encouraged to identify all of their health insurance options.

As a Fellow paid by the Research Foundation for SUNY (on behalf of NYSG), Scholars are eligible to participate in the optional Research Foundation for SUNY Graduate Student Employee Health Plan. Although the plan is not inexpensive, it is an alternative to having no insurance at all. If the Scholar decides to participate in this plan, the costs will be deducted from the student’s stipend paychecks. For individual coverage, Scholars would pay about $2600 a year. Additional rates for Scholars with dependents are available from Human Resources, Stony Brook University.

Information and enrollment forms for this plan are included in Sea Grant Scholar Fellowship appointment packets provided to the lead principal investigator. These forms should be returned to the NYSG office along with the other appointment forms. Additional information about the Research Foundation health plan can be obtained by contacting the Student Health Center at Stony Brook University at 631-632-6144 or Human Resources at 631-632-6180.

H. Thesis Defense and Graduation

NYSG must be informed, in advance, of a Scholar’s thesis defense date as well as his/her official graduation date. It is beneficial for NYSG staff to attend a Scholar’s defense. Upon graduation, a Scholar’s thesis or dissertation must be submitted to NYSG as a pdf.
NYSG support must be acknowledged in the Scholar’s printed thesis and any oral presentations. This is an important courtesy. Any publications resulting from the Scholar’s efforts also need to reference NYSG funding (see details under Section II.B. of this document).

Scholars and principal investigators are asked to keep NYSG updated on the Scholar’s career progress (e.g., first employment, additional graduate school, etc.) and contact information. NYSG tracks former Scholars in order to help justify the benefits of this type of educational program.

As should be clear from Section IV.A., Scholars who graduate before the end of their appointments, or who drop out of the program, cease to be eligible for financial support. The lead principal investigator is responsible for promptly informing NYSG about such circumstances, so that NYSG can terminate payroll expenditures. He or she may request that the remaining Scholar stipend funds be allocated to a replacement Scholar, given that the support will last for at least one full semester and is necessary to complete the project’s objectives.

**IV. Contacting New York Sea Grant**

Up-to-date listing of NYSG’s administrative and outreach staff can be found on our website at http://www.seagrant.sunysb.edu/articles/t/nysg-staff. Investigators, students and institutional staff are encouraged to contact the appropriate NYSG person at any time regarding questions, issues or topics that are not addressed by this document.