



# **Sea Grant Handbook**

Guidelines for Proposal Preparation,  
Project Administration and Reporting

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Mississippi-Alabama Sea Grant Consortium  
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MASGP-07-006

# Sea Grant Handbook

## Guidelines for Proposal Preparation, Project Administration and Reporting

### I. INTRODUCTION

This handbook provides guidance for full proposal preparation and submission and the administration guidelines for Mississippi-Alabama Sea Grant Consortium (MASGC) sponsored projects. Guidance provided in this document follows policies and procedures for grants set by the National Oceanic and Atmospheric Administration, the National Sea Grant College Program Office, and the MASGC.

### II. INSTRUCTIONS FOR SEA GRANT PROPOSAL PREPARATION

All proposals submitted to the MASGC should demonstrate public benefits. Successful proposals should be innovative, based on thorough knowledge of current research in the field, within the expertise of the investigators and engage with one of MASGC's education and outreach programs. Sea Grant also encourages research that is multidisciplinary, multi-institutional, and is industry supported. The MASGC requires that proposals match one or more of the priority areas outlined in its 2006-2010 Strategic Plan. (<http://www.masgc.org/strategicplan/index.htm>)

Fully developed proposals submitted to the MASGC will be subjected to extensive national merit review for evaluation of (1) scientific or professional merit, (2) societal impact, and (3) integration of research with education and/or outreach.

#### A. 2008-2009 OMNIBUS FULL PROPOSAL SUBMISSION GUIDANCE Non-conformance to the following instructions will disqualify the proposal.

Investigators are required to submit **one** unbound original copy of the entire proposal, plus a disk or CD containing all the files. Full proposal submissions will **not** be accepted by e-mail or FAX. The disk or CD must include the complete proposal contents, including all forms and text saved as separate files. Files created on a Macintosh must be submitted in a format easily opened by a PC. Forms needed for proposal submission are available at: <http://www.masgc.org/forms.htm> . These forms are often up-dated, so please check to make sure you are using the most current versions.

Questions regarding proposal submission may be directed to Loretta Leist by e-mail at [loretta.leist@usm.edu](mailto:loretta.leist@usm.edu) or by phone at 228-818-8835.

The proposal package should be sent to:

Loretta Leist  
Programs Officer  
Mississippi-Alabama Sea Grant Consortium  
703 East Beach Drive  
Ocean Springs, MS 39564  
Telephone: 228-818-8835

## B. PROPOSAL FORMAT

Proposals should be printed on 8.5" x 11" paper using an 11 point font such as Times New Roman or an equivalent serif typeface. Use 1" margins all around. Pages of the narrative (only) should be numbered. The numbering will be centered in the footer. The PIs last name should occur on each page in any location (on provided lines in a form, within the text, or as a header/footer). The text in the narrative should be single spaced. All signatures should be in **blue** ink. Please be sure that all mathematical calculations are correct. Submit **one unbound** original that contains each of the sections identified below and assembled in the following sequence:

1. MASGC Title/Cover Page
2. MASGC Project Summary Form (Form 90-2, one form for each year)
3. Abstract (500 words)
4. Project Narrative, including sub-sections:
  - a. Introduction/Background/Rationale
  - b. Societal Benefits of Results
  - c. Objectives
  - d. Approach
  - e. Integration with education and/or outreach
  - f. General Project Information
5. Literature Cited
6. Project Schedule Form
7. Letters of Support
8. Quality Assurance Statement
9. MASGC Budget Form (Form 90-4, one for each year; no cumulative required)
10. Budget Justification (one for each year; no cumulative required)
11. Curriculum Vitae (2-page)
12. Consent Form: Intellectual Property
13. Certification Form CD-512
14. Suggested reviewers and/or a list of persons who should **not** review proposal (if any)

## C. PROPOSAL CONTENT AND GUIDELINES

### 1. MASGC Title/Cover Page - sample in the Appendix

This form can be found at: <http://www.masgc.org/forms.htm> .

- a. Enter the complete project title which should be 16 words or less. Project titles should be constructed to adequately describe the project. Consider that there will be people who will judge the content of a program from scanning a list of titles. The title should be specific, descriptive of the activity, and clearly indicate subject and anticipated outcome. Enter the full name, title, address, E-mail, phone, and FAX for all principal and co-principal investigators and the institutional authority. If the information will not fit in the space provided, please reduce the font size. The Title/Cover Page must be one page only. Indicate PI and Co-PI and institutional authority by using parenthesis before the names. Please number Co-PIs. (Co-PI # : name)
  - b. Please mark the MASGC strategic area that best describes your project.
  - c. In the space for year and funding information, Sea Grant Funds refers to the funding amount requested from Sea Grant and Grantee Match Funds refers to the funding amount of match committed by the institution. The Grantee Match (non-federal) must
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equal at least 50 percent of the federal funds (i.e., \$1 non-federal match for every \$2 federal funding requested). Prior Funding of Related Projects refers to projects receiving Sea Grant funding in program years preceding the proposal period. Amounts listed should also include any supplemental funding provided by MASGC to the initially approved grant.

- d. Proposed Starting Date for year one is 02/01/08 and for year two is 02/01/09.
- e. Estimated Completion Date for year one is 01/31/09 and for year two is 01/31/10.
- f. The principal investigator and the appropriate institutional authority MUST sign the cover page. Please use blue ink for all signatures. The signatures acknowledge the institutional commitment to the Grantee Match support and to the proper conduct of the project by the personnel indicated as investigators. Original signatures of both the PI and institutional authority are required on the hard copy of this form.

## 2. MASGC Project Summary Form (Form 90-2) - samples in the Appendix

Submit one 90-2 form for each year of funding requested. Submit in Word or Word Perfect format. This form can be found at: <http://www.masgc.org/forms.htm> .

Note that this form is the same form used in the completion and progress reports. Additional information is needed for the reports (see section IV “Project Reports.”) Fields “C” through “X” do not change unless permission to change the project has been obtained (see section III, “Project Administration.”)

- a. **Date of Submission:** Enter the date you are submitting this proposal or report.
- b. **Institution:** The name of the Sea Grant College Program (already inserted).
- c. **Icode:** 2800 (already inserted).
- d. **Year:** Use “1,” or “2,” to indicate the year of the project for which the form applies.
- e. **Project Title:** This must be the same title as used on the Title/Cover Page.
- f. **Project Number:** Leave blank for proposals. If funded, this number will be assigned to you on your award letter. Use this number on all correspondence about the project with MASGC.
- g. **Sub Program:** Leave blank.
- h. **Initiation Date:** The format for all dates is MM/DD/YY. The initiation date for projects beginning in year one is 02/01/08 and for projects beginning in year two is 02/01/09.
- i. **Revision Date:** Leave blank. This date is only used if and when you obtain permission to revise your project or proposal.
- j. **Completion Date:** The completion date for projects ending in year one is 01/31/09 and for projects ending in year two is 01/31/10.
- k. **Principal Investigator(s) or Co-Principal Investigators(s):** Last name should be entered first, followed by the full first name and middle initial. Do not include titles.  
Example: Maris, Henry O.

- l. Affiliation Code:** The affiliation code for MASGC member institutions is listed below; all others, if unknown, leave blank.

<u>Affiliation Code</u>	<u>Institution Name</u>
0100	Auburn University
0102	The University of Alabama, Tuscaloosa
0104	University of South Alabama
0106	The University of Alabama, Birmingham
2801	Mississippi State University
2804	The University of Mississippi
2806	The University of Southern Mississippi
2812	Jackson State University
2815	Mobile County Public School System
2818	Dauphin Island Sea Lab

- m. Affiliation:** The complete name of the investigator’s institutional affiliation (no abbreviations).
- n. Effort:** Total number of months per year, to the nearest tenth, which the investigator proposes to commit to the project.
- o. Associate Investigator(s):** Name(s) of associate investigator(s) whose efforts are significant to the success of the project. Use same format as for Principal Investigator(s) or Co-Principal Investigator(s) above.
- p. Associate Investigator(s) Affiliation, Affiliation Code, and Effort:** Follow instructions for affiliation, affiliation code, and effort as outlined above for principal investigators. If there is no co-principal investigator or associate investigator for your project, you may delete the unused fields for investigators.
- q. Sea Grant Funds, Matching Funds:** “Sea Grant Funds” and “Matching Funds” are funds requested for the year of the project indicated in the “Year” field.
- r. Related Project(s):** The project number(s) of other MASGC supported project(s), if any, which are directly related to this project. Limit the entries to the most recent five projects.
- s. Parent Project(s):** The project number(s) of other MASGC supported project(s) begun or completed earlier from which this project was derived.
- t. Sea Grant Classification:** Leave blank.
- u. Keywords:** Keywords should be drawn from the proposed project with consideration for their usefulness in database searches. Limit to ten.
- v. Objectives:** This section should state concisely what the investigator will do for that particular year. Stated objectives should enable comparison later to project results. The objectives should begin with the word "To" followed by a verb. In keeping with Sea Grant's mission, most appropriate verbs are test (the hypothesis), develop, provide, determine, isolate, characterize, identify, restore, implement. Less desirable, but sometimes appropriate, are verbs such as promote, conduct, analyze, apply, investigate, examine, describe. Some, such as study, consider, continue, should not be used since failure to do these is not determinable. Be specific and brief. State the overall objective, and then the individual objectives. Objectives should be summarized in a numbered format.

- w. **Methodology:** In concise outline form, with an optional one or two sentence preface, state the methodology to be used. Specific questions that an interested person would ask should be answered under objectives or methodology e.g., which heavy metals, which pollutants, which pathogens, what species of seaweed or shellfish, what kind of a model? Be specific and brief in one paragraph.
- x. **Rationale:** This section should make a concise statement of why this problem or opportunity is being addressed. The project need not promise to fully solve a problem, but it should be shown that it is a logical step towards solution. Long, involved background statements should be avoided. Explain how the project relates to the MASGC Strategic Plan and what user groups will benefit from this work.

Additional information is needed for reports. Please see section IV for reporting instructions.

### 3. **Abstract** (Maximum length, 500 words, single spaced)

The abstract describes the research and conveys all the essential elements of the proposed work. The abstract should include a summary of the objectives, approach, and expected results, including public benefits, described in the Project Narrative of the proposal. Give details and specifics. The abstract information can be drawn from the Project Summary Form (90-2).

### 4. **Project Narrative** (Maximum length, 15 pages)

Please paginate this section only. Maximum length: **no more than 15** pages single spaced in 11 point font. Tables and visual materials, including figures, charts, graphs, maps, photographs, and other pictorial presentations **are included** in the 15 page limit. Literature citations and support letters are **not included** in the 15 page limit. No appendices are permitted. Citations in the narrative must use the author, year format.

#### a. **Introduction/Background/Rationale**

Provide a brief description introducing the proposed work including the background and justification.

Describe using quantitative information the problem or opportunity at hand. This section should document the magnitude of the situation, and the relevance of the issue or problem to Mississippi and/or Alabama, regional, and national needs, and MASGC priorities. This section needs to address both the scientific rationale for the project, and quantify from a practical standpoint that the issue is a high priority in the theme area. Describe what makes this project innovative. Why is this topic important? Projects that ultimately contribute to environmental sustainability, job creation and economic competitiveness fare best. (The goal of the proposal, below, should flow logically from this discussion.)

For continuing projects, this subsection must include a report of progress to date. The following should be addressed in this subsection:

- 1) current state of knowledge in the particular area of proposed work;
- 2) relevant preliminary or existing data collected in support of the proposal;
- 3) the need to conduct the proposed work and hypotheses to be tested;
- 4) the ability of and potential for the proposed work to contribute to the subject area; and the
- 5) relationship to MASGC's Strategic Plan.

**b. Societal Benefits of Results**

Describe the results expected to be achieved during the project and how these results relate to current knowledge of the proposal's topic or research area(s) and the goals of MASGC. In addition, **it is essential** to describe management, policy, behavioral, or economic benefits that will be achieved by the project.

**c. Expected Impacts**

*An impact is defined as an impelling or compelling effect.* Impacts are higher order, usually long-term results that have significant scientific, economic, or social benefits. Impacts may involve behavioral, policy, or economic changes. Seminal contributions to science are considered impacts especially if the research findings lead to major progress in a particular field, implementation of new technologies, or have a substantive bearing on an economic or societal issue. Describe possible impacts to be achieved by this research. If the objectives are attained, how would the problem to be solved create new commercial opportunities, improve technological and economic efficiency, improve management decisions, etc., and also advance this field of scholarship? What Mississippi and or Alabama, regional or national impact is envisioned?

**d. Hypothesis and Objectives**

Provide the hypothesis to be tested and list the objective(s) of the proposed research.

**Hypothesis:** State the hypothesis. How will the hypothesis be tested? Describe specific methodology and major aspects such as controls, replication, sampling, surveys, etc. Describe how this work would add to the body of knowledge in your scientific discipline. What is the national significance of this idea?

**Objectives:** In one sentence, concisely state the overall goal of the proposed project. Then, please number and list the objectives. The objectives should begin with the word "To" followed by a verb. In keeping with Sea Grant's mission, the most appropriate verbs are: test, develop, provide, determine, isolate, characterize, identify, restore, implement. Less desirable but sometimes appropriate are verbs such as: promote, conduct, analyze, apply, describe. Some, such as study, consider, continue, should not be used since failure to do these is not determinable. Do not list methods or say the aim is to "get a better understanding." Proposals that state objectives in a way that enables measurable comparison to expected project results will fare best in review. Be realistic and do not list too many objectives.

**e. Approach**

Outline the methods, approaches, and techniques that will be used to test the hypothesis and meet the stated objectives. The investigator should include enough detail to demonstrate the technical qualities of the proposed approach so that the salient features of the proposed work can be quantitatively assessed by both the investigator and review panel, including:

- 1) expertise or technical support needed for developing/applying protocols and conducting the work;
- 2) experimental or sample design;
- 3) sampling and analytical requirements to achieve high quality data and results.

**f. Outreach/Education**

Document engagement with one or more of MASGC’s education and/or outreach (communications, extension, legal) program areas, provide a plan for dissemination of results to coastal stakeholders, and detail evaluation procedures to measure the project’s success in meeting objectives. Each full proposal has been assigned an MASGC outreach person to contact. This person will write you a letter of support. If you do not know your assigned person, please contact Loretta Leist.

Include in your outreach plan, an article in the MASGC newsletter, “SeaBriefs” and an abstract submitted to the local “Bayous and Bays” symposium. These items should not be the focus of your outreach plan, however.

**g. Expected Outcomes**

*An outcome is defined as a consequence; ...that which comes out of or results from something; a visible or practical result, effect, or product.* Describe the outcomes to be achieved during the project and how these outcomes relate to current knowledge of the proposal’s topic or research area(s).

**h. General Project Information**

Discuss additional information relevant to the success of the project. A brief description of the following should be included in this section:

- 1) **Current and Pending Support:** Include information on sources and amount of support/funding relevant to or associated with the proposed work. Clearly distinguish how the proposed work relates to or is associated with any current or pending funding.
- 2) **Coordination:** Describe any coordination with other investigators, institutions, agencies, or industries or ongoing research efforts. Describe any other proposals that are essential to the success of this proposal.
- 3) **Links to Other Projects:** How will this project coordinate with any other related research? Such projects may be local or statewide, or may be part of a regional Sea Grant package (i.e., funded cooperatively with at least one other Sea Grant program in the U.S.). Multi-disciplinary efforts are encouraged. Please be specific in identifying and explaining these links. Projects that tag-on other long-term or funded projects simply for "more data collection" do not fare well.
- 4) **Facilities, Equipment, Personnel, and Other Resources:** **Include information about facilities, equipment, personnel, management, and reliance on or interactions with other institutions or other resources that are directly applicable to the proposed work.**



## 5. Literature Cited (No maximum length, single spaced)

Citation information is required if used in the contents of the proposal and also is important to establish the familiarity and expertise of the investigator(s) to the subject of the proposal. The guidelines and examples of the format to be used are:

- a. Use name-and-year system for citations.
- b. Literature Cited should begin on a new page.
- c. Each entry should begin flush left.
- d. Single space within citations.
- e. Double space between citations.

Examples:

### Literature Cited

Journal paper:

Hecky, R.E., K. Mopper, P. Kilhaur, and E.T. Degens. 1973. The amino acid and sugar composition of diatom cell walls. *Marine Biology* 19(3):323-331.

Book:

Shorrocks, B. and I.R. Swingland. 1990. *Living in a Patchy Environment*. Oxford University Press, Oxford. 246 p.

## 6. Project Schedule Form - sample in the Appendix

*Milestones – specific actions that will be undertaken to accomplish the strategies or objectives whereby progress toward the goals and/or outcomes is realized.* Examples of milestones are data collection, analyzing samples, presentation of results, and publication of results. Mark with an “X” the appropriate year(s) and month(s) expected for individual milestones identified for the proposed work. This form can be found at: <http://www.masgc.org/forms.htm> .

## 7. Letters of Support

The MASGC requires letters of support from any stated collaborators. As applicable, the MASGC encourages letters of support from potential user groups such as state or federal natural resource agencies, fisheries or fishing organizations (commercial and/or recreational), industry, and marine extension educators. The best examples of letters of support are those which include formal commitment from end-users of the proposed research. Letters of support from your MASGC assigned outreach personnel are required.

**8. Quality Assurance Statement** (Maximum length, 2 pages single spaced)

Note: This section applies to proposals involving scientific projects or projects involving sampling or data processing. If the proposed work does not involve sampling or data processing and does not require quality assurance protocols, then provide a statement as to why this section does not apply to the proposed work.

Quality assurance is an integrated program designed to ensure reliability of data. Quality assurance procedures such as tracking, reviewing, and auditing are implemented to assure that all work is performed in accordance with professional standards, guidelines, and specific objectives or methods stated for the proposed work or project protocols. The objectives of the quality assurance statements are to:

- a. ensure that all procedures are documented, including any changes in administrative or technical procedures.
- b. ensure that all sampling and analytical procedures are conducted according to sound scientific or professional principles.
- c. monitor the performance of the work being conducted and provide for a corrective action as necessary.
- d. ensure that all data are properly recorded and that results are supportable.

Quality assurance statements should present the required information or provide justification as to why the item does not apply to the proposed work for each item listed below:

- a. Data Collection Activities
- b. Documentation
- c. Sample Identification and Labeling
- d. Sample Handling, Preservation, and Storage
- e. Quality Control Samples and Procedures
- f. Data Review, including precision, accuracy, completeness, representativeness, and comparability.
- g. Data Reduction, Analyses, and Reporting
- h. Quality Assurance Compliance
- i. Personnel Training

**9. Budget Information - MASGC Budget Form (Form 90-4) - sample in Appendix**

An itemized budget sheet must be submitted for **each** year. No cumulative budget is required. All dollar amounts should be rounded to whole dollars. This form can be found at: <http://www.masgc.org/forms.htm> .

**Match** - A 50 percent match of the federal funds (i.e., one dollar of match for every two dollars of federal money) is required on all Sea Grant proposals unless otherwise specified. Note that it is important to specify match contributions carefully to be able to demonstrate sources and amounts. Any match contributions identified by investigators are subject to federal audit that may result in additional costs to the institution. Match may be in the form of selected “in-kind” services or additional funds from a specified institution, agency, industry, or non-federal program. No funds from federal agencies can be used as match.

**A.) Salaries and Wages**

List the number of personnel and the time in months necessary to complete the project. The time in months should be time equivalents, regardless of how many calendar months the individual will work on the project for Sea Grant funds. Round all person months time to the nearest tenth.

**1) Senior Personnel**

- a. The Principal Investigator is responsible for the conduct of the project. If responsibility is shared between two or more persons; they should be shown as co-principal investigators. The investigator listed first will have overall responsibility as liaison to MASGC for reporting, performance, and fiscal budget management.
- b. Principal, co-principal and associate investigators are usually full-time faculty or staff members employed by the institution.

**2) Other Personnel**

- (a) Professionals – non-faculty/staff associated with the project.
  - (b) Research associates - professional persons who are part-time employees, persons retained solely for the project, or staff members of participating institutions. (Consultants should be listed under “other costs” because fringe benefits or some elements of facilities and administrative costs may not be computed on their compensation.)
  - (c) Research assistant graduate students – part-time or full-time students who hold at least a bachelor’s degree or equivalent, are enrolled in a program leading to an advanced or professional degree, and are integral to the project as research assistants.
  - (d) Professional school students - students enrolled in medical, legal, and other professional schools.
  - (e) Pre-Bac. students - undergraduate students enrolled either part-time or full-time in a course leading to a degree, including an Associate Degree in the case of students in two-year programs, or a certificate in the case of some vocational students. Students should be categorized as professional, graduate or undergraduate. These students may be employed as aides or helpers on a Sea Grant project either on salary as part-time employees or on an hourly basis.
  - (f) Secretarial/Clerical - office personnel. Secretarial/Clerical salary support is generally not allowable as a direct charge. However, exceptions may be made in some circumstances (e.g., projects which involve extensive data
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accumulations, analysis, entry, surveying, tabulation, etc.; projects whose principal focus is the preparation and production of manuals and large reports, books and monographs; or projects requiring project-specific database management, individualized graphics or manuscript preparation, etc.). It is necessary to clearly justify any secretarial/clerical salary included in your project in the budget justification.

- (g) Technicians - technicians and other persons with special skills.
- (h) May be used for “other” persons not included in a. through g.

**B) Fringe Benefits**

Fringe benefits must be included as a part of the budget. Contact the Contracts and Grants Officer on your campus for applicable rates.

**C) Permanent Equipment**

This category includes any nonexpendable equipment with a cost of more than \$5,000 per unit and a useful life of more than one year. Major items should be itemized on the MASGC Budget Form. The per unit threshold may vary by institution and should be used if it is less than \$5,000.

**D) Expendable Supplies and Equipment**

This category includes general office supplies, chemical supplies or other laboratory supplies, small items of equipment not included in permanent equipment, charges for copying, slides, photographs, etc. Any item more than \$200 in this category must be listed and justified.

**E) Travel**

Expenses for transportation, lodging, subsistence, and related items incurred for official business (i.e. to sampling sites, to attend conferences, etc.) of the respective project.

Domestic travel is restricted to the continental U.S. All travel to Canada, Hawaii, Mexico, Puerto Rico, and anywhere else is considered “international” travel. International travel costs are allowable only when the travel has received specific prior approval by the MASGC Director. International travel costs must comply with the provisions of the Fly America Act (49 USC §40118). The implementing regulations of the Fly America Act are found at 41 CFR §§301-10.131 through 301-10-143.

**F) Publication and Documentation Costs**

These costs relate to the development and production of a report for distribution to a specific audience. Such costs would include manuscript preparation, journal pages, and reprint charges (including required 15 reprints for MASGC).

**G) Other Costs**

Other costs identifies costs, including consultants, that are not itemized elsewhere.

## **H) Facilities and Administrative (F&A) (Indirect) Costs**

If space is not sufficient on the budget to include computations at various rates, then include the breakdown on the Budget Justification to provide percentage rate and itemization of what is included in the facilities and administrative (indirect) cost rate, and to identify those items in the cost breakdown to which the rate will be applied.

F & A may be charged on all salaries and wages, fringe benefits, materials and supplies, services, travel, and subcontracts up to the first \$25,000. Equipment, capital expenditures, charges for tuition remission, rental costs, scholarships, and fellowships as well as the portion of each subcontract in excess of \$25,000 shall be excluded from total direct costs.

## **10. Budget Justification - sample in the Appendix**

A separate Budget Justification must be provided for each Budget Form submitted in the proposal. For every dollar value on the budget, a justification is required for that line item. (Sea Grant Funds and Grantee Share). Failure to do so may compromise your proposal submission. Evaluations will be made on how reasonable your costs are for your project. This form can be found at: <http://www.masgc.org/forms.htm> .

**NOAA Grants Management Division expects the budget justification to address the following questions:**

### ***For Matching Funds***

- Is a match (non-federal share) required for this program?
- If yes, does the application meet the matching requirements?
- Are the sources of match clearly identified? (i.e. cash or in-kind)
- Does the application provide adequate documentation to support in-kind contributions?
- Does the application exclude matching contributions, cash or in-kind used for other programs?
- Does the application exclude federal funds used as match?
- Are all matching contributions necessary for accomplishing the project?
- Are all matching contributions in compliance with federal cost principles?

### ***For Salaries and Wages- A.***

- Is each individual identified by name and position?
  - Are time commitments such as hours and percent of time stated for each position?
  - Are the total charges for each person listed along with an explanation of how the costs were calculated?
  - Do the combined charges for all activities of any individual exceed 100% of their time?
  - Do the time commitments and charges appear reasonable?
  - Are all individuals employees of the applicant organization?
  - Is a cost of living increase built into the budget?
  - Are salary increases justified for the grant period?
-

***For Fringe Benefits- B***

- Are fringe benefits identified as a separate item?
- Are all the elements that comprise fringe benefits indicated?
- Do the fringe benefits and charges appear reasonable?
- Are the total charges for each person listed along with an explanation of how the charges were calculated?
- Are fringe benefits charged to federal and matching categories in the same proportion as salaries?

***For Permanent Equipment - C***

- Is each item of equipment listed?
- If over \$5,000 is there a description of how it will be used in the project?
- If over \$5,000 has a lease vs. purchase analysis been completed?
- For each item of equipment, is the number of units, cost per unit and total cost specified?
- Are the charges for each item reasonable and realistic?
- Are disallowed costs excluded?
- Contingencies or miscellaneous charges must be excluded.

***For Expendable Supplies and Equipment - D***

- Are supplies itemized by type of material or nature of expense?
- For general office or business supplies, is the total charge listed along with the basis for the charge (i.e. historical use rates)?
- For other specific supply categories, is the number of units, cost per unit and total cost specified?
- Are the charges reasonable and realistic?
- Are disallowed costs (e.g. liquor, entertainment) excluded?
- Contingencies or miscellaneous charges must be excluded.

***For Travel - E***

- For foreign and domestic travel, is each trip listed along with the destination, estimated mileage, method of travel, cost per mile and duration, number of travelers, per diem rate for meals and lodging?
- If actual trip details are unknown, what is the basis for the proposed travel charges?
- Is the requested travel directly relevant to the successful completion of the project?
- Are the travel charges reasonable and realistic?

***For Other Costs – G***

- Are items listed by type of material or nature of expense?
- For each charge, is the number of units, cost per unit and total cost specified?
- Are the charges necessary for the successful completion of the project?
- Are the charges reasonable?
- Are disallowed costs ( e.g. liquor, entertainment) excluded?
- Are charges which duplicate indirect cost items excluded?

***For Other Costs – Sub-contracts***

- Is each contract or subgrant listed as a separate item? (Separate budgets are required for subgrants or contracts regardless of the dollar value.)
- Are the products/services to be acquired described along with the applicability of each to the project?
- Do the costs appear reasonable and realistic?
- Are any sole source contracts contemplated?
- If yes, is a sole source justification included with the application which describes why the proposed sole source entity is the only source capable of meeting the applicant's project needs?
- Are disallowed costs excluded?
- Contingencies or miscellaneous charges must be excluded.
- Are there contracts with non-US organizations?
- Do you have a CD-512 on file for each of your subgrants or contracts?

***For Indirect Costs – H***

- Are indirect costs requested?
- Is the correct rate being used? (If a lower rate than is authorized in the indirect cost rate agreement is being proposed you must explain why your organization is deviating from the approved rate.)
- Is the rate applied to the correct base?
- Are charges which duplicate direct costs excluded?

**11. Curriculum Vitae** (Maximum length, 2 pages single spaced, for each investigator)

The vitae should provide evidence of the investigator's position, education, qualifications, and experience in the field and should contain the following sections:

- a. Contact name, address, and title
- b. Education
- c. Positions held and dates
- d. Publications
- e. Presentations
- f. Patents
- g. Awards/honors
- h. Other relevant information

**12. Consent Form - Intellectual Property - sample in the Appendix**

Principal Investigator(s) are required to sign a consent form acknowledging and agreeing to the terms and conditions pertaining to rights to intellectual property resulting in part or wholly from MASGC funding. This form can be found at:  
<http://www.masgc.org/forms.htm> .

**13. Certification Form CD-512 - sample in the Appendix**

To be completed and signed by the Institutional Authority. This form can be found at:  
<http://www.masgc.org/forms.htm> .

**14. List of persons who should not review proposal (optional)**

Please provide the name and contact information for anyone you feel would not provide an impartial review.

**D. FINAL CHECKLIST**

The completed proposal must contain the following as separate files:

1. MASGC Title/Cover Page (must be signed by institutional authority)
2. MASGC Project Summary Form (90-2) (one form for each year)
3. Abstract
4. Project Narrative
5. Literature Cited
6. Project Schedule Form
7. Letters of Support
8. Quality Assurance Statement
9. MASGC Budget Form (one for each year)
10. Budget Justification (one for each year)
11. Curriculum Vitae
12. Consent Form: Intellectual Property
13. Certification Form CD-512
14. List of persons who should **not** review proposal (if any). A list of suggested reviewers is encouraged.

Review criteria are demonstrated in the Appendix section of this document.



### **III. PROJECT ADMINISTRATION**

#### **A. Governance**

Upon approval and notification of funding and acceptance of final proposal conditions, projects will be governed by the terms of The University of Southern Mississippi's (USM) Research Agreement. Further guidance is provided below for project modifications, project extensions, and fiscal reporting. Projects approved and funded by the MASGC and NOAA are administered by the following Office of Management and Budget circulars (most current versions found at <http://www.ofa.noaa.gov/~grants/pdf/>):

**A-21** Cost Principles for Educational Institutions

**A-110** Uniform Administrative Requirements, Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations

**A-133** Audits of States, Local Governments, and Non-profit Organizations

#### **B. Federal Award Notification and Processing**

Information and instructions for endorsements will be included in the research agreement (subcontract) issued by USM.

#### **C. Funding Disbursements**

Cash support will be transferred on a cost reimbursement basis. The amount will be based on the financial statements provided by your financial office to USM and reviewed by the MASGC Fiscal Officer. Funds will be forwarded to your institution within 60 days following the calendar quarter close-out date. For additional information, refer to paragraphs B and C in the Research Agreement (subcontract).

#### **D. Change in PI and/or Scope of Project**

Requests for a change in the Principal Investigator or Co-Principal Investigator must be made in writing, allowing sufficient time for review and evaluation of the request. Rationale and need for the change must be provided. The same process applies if there is a change in the scope of the project (change of objectives and possible change of funding categories).

1. The letter should be addressed to the MASGC Director.
2. The PI submits this letter to the Office of Sponsored Programs at his/her university.
3. The Office of Sponsored Programs will submit the request to MASGC on behalf of the PI. Submission can be made either by e-mail attachment or mailed hard copy.
4. Upon approval by the MASGC Director and contingent upon compatibility with the prime agreement, the University of Southern Mississippi (USM) will notify the PI's Office of Sponsored Programs.
5. The PI will be informed by his/her Office of Sponsored Programs when all paperwork is completed.

### **E. Project No Cost Extensions**

No-cost extensions to projects must be requested in writing at least **30 days prior** to the closing date of the award. Detailed information of the rationale for the requested extension must be provided. Project extensions may be in 6 month increments but may not exceed 12 months beyond the original ending date.

1. The letter should be addressed to the MASGC Director.
2. The PI submits this letter to the Office of Sponsored Programs at his/her university.
3. The Office of Sponsored Programs will submit the request to MASGC on behalf of the PI. Submission can be made either by e-mail attachment or mailed hard copy.
4. If approved by the MASGC Director, a letter or e-mail of approval will be sent to the University of Southern Mississippi (USM) requesting an amendment be made to the subcontract. USM will authorize this extension contingent upon compatibility with the prime agreement.
5. USM will send an amended subcontract to the PI's Office of Sponsored Programs.
6. The PI will be informed by his/her Office of Sponsored Programs when all paperwork is completed.

### **F. Budget Modifications**

Requests for budget modifications must be made in writing, allowing sufficient time for review and evaluation of the request. Detailed rationale and need for the modification must be provided.

1. The letter should be addressed to the MASGC Director.
2. A revised budget form (90-4) should accompany the letter and should be clearly marked "Revised". The 90-4 is available at <http://www.masgc.org/forms.htm>.
3. The PI submits these documents to the Office of Sponsored Programs at his/her university.
4. The Office of Sponsored Programs will submit the documents to MASGC on behalf of the PI. Submission can be made either by e-mail attachment or mailed hard copy.
5. Upon approval by the MASGC Director and contingent upon compatibility with prime agreement, The University of Southern Mississippi (USM) will notify the PI's Office of Sponsored Programs.
6. The PI will be informed by his/her Office of Sponsored Programs when all paperwork is completed.

### **G. Quarterly Financial Report**

A quarterly statement showing all fiscal activity is to be prepared by your institution's finance office. This report must bear the date and original signature of the institution's official signatory whose letter of authorization is on file in the MASGC administrative office. Financial reports are due to USM's Account Fiscal Manager, as referenced in paragraph B of the Research Agreement.

This report must include a breakdown by expense category and be in sequence with the two column budget. It should be detailed for comparison with the budget/budget justification in the program proposal that was authorized by NOAA/Office of Sea Grant. Details include a breakdown of salaries and wages by category, personnel, and amounts; fringe benefits including percentages; the duration in which acquisitions of equipment were made including description by make, model, serial number, cost, and location. On the composite sheet, expense categories should follow the same sequence as the MASGC Budget Form (Form 90-2). Entries for "Other Costs" must correlate to the approved budget. If more than one type of expense item comprises a line item entry on the budget, such as telephone and postage, detail must be given in the corresponding section of the supplement pages of the financial report summary.

## **H. Final Financial Report**

For the final report, a composite financial report must include the detail described above and the special close-out forms/information now required by NOAA/MASGC as follows:

1. identify sources and amounts of grantee match support;
2. list federally owned equipment used on/by the project, and;
3. other information as may be requested by the federal funding agency.

This report is due to USM's Account Fiscal Manager and shall reference the USM agreement number referenced in paragraph B (Invoices) of the agreement. A project/account will not be considered closed and obligations met until a final financial report is submitted and accepted and all programmatic completion and final technical reports and/or publications resulting from the project have been received.

In the event of an audit through or assigned by our federal grant agency or by the respective state budget office, the responsibility of documentation lies with the participant institution. If charges to the grant cannot be properly documented or accepted by an audit and are charged back to the Consortium, the institution from which the questioned charges evolve will be invoiced for reimbursement to the MASGC.

#### **IV. PROJECT REPORTS**

##### **A. Annual Progress Report—due 13 months after the project’s starting date**

For multi-year projects, a brief annual summary, not to exceed four pages, should be submitted electronically to [loretta.leist@usm.edu](mailto:loretta.leist@usm.edu), using the MASGC Project Summary Form (Form 90-2) which is available at <http://www.masgc.org/forms.htm>. It is not necessary to submit a hard copy.

Annual Progress reports are due 13 months after the project initiation date, and each year thereafter until the final year, regardless of any extensions granted. If an extension of six months or more has been granted during the final year, an Annual Progress Report will be required for that final year also. You will be reminded approximately one month prior to the due date.

**Payment of the fourth quarter expenses will not be approved until the Annual Progress Report has been received.**

##### **B. Completion Report—due two months after the project’s completion date**

The completion report is a brief summary, not to exceed four pages, of the findings of the project which allows an evaluation of the success of the project in meeting its objectives. This report should be submitted electronically to [loretta.leist@usm.edu](mailto:loretta.leist@usm.edu), using the MASGC Project Summary Form (Form 90-2). It is not necessary to provide a hard copy. The following information should be included in this report:

1. Students supported, department, university, degree (when granted or expected), and thesis or dissertation title
2. Publications
3. Invited papers
4. Invention disclosures
5. Patents
6. Agencies, institutions, organizations, industries that have provided cooperative support with a brief statement of the kind of support provided.
7. Societal benefits - You should also include an indication of societal benefits (management, policy, behavioral, or economic benefits) realized as a result of the research, education, or outreach project. Please list contacts who can provide additional information from the user’s or beneficiary’s perspective. Deadline for the Completion Report is two months after the project completion date.

**Payment of the final quarter expenses will not be approved until the completion report is received.**

##### **C. Final Technical Report—due six months after the project’s completion date**

*Articles published or accepted for publication in refereed journals may be submitted in lieu of the final technical report.* However, if your project does not result in publishable information, then a detailed report of the findings of the project is required. The report will include an abstract, introduction, methods and materials, results, discussion, implications, and references cited. You will be contacted by MASGC approximately one month prior to the due date.

**Notification of the status of peer-reviewed publications or a Technical Report is due six months after the project completion date.**

## V. PUBLICATIONS

The end product of research is information, and Sea Grant research results are not fully realized until they are available to users. To further the use and development of marine and coastal resources, NOAA encourages wide dissemination of the results of Sea Grant research, as well as its education and extension activities. A major part of that dissemination occurs in the form of publications and other communications products aimed at Sea Grant's various audiences. Publications are processed for inclusion in the National Sea Grant Library <http://nsgd.gso.uri.edu/>.

It is essential that the rights of the U.S. Government and the Mississippi-Alabama Sea Grant Consortium are reserved to reproduce and distribute—for governmental purposes—any publication that results from Sea Grant support, regardless of copyrights.

### A. REQUIREMENTS

1. Each publication relating to a Sea Grant-funded project must contain the following four elements:
  - a. **Publication Number**  
All information products that report results from MASGC-supported projects must have an MASGC publication number that should appear on the front cover. Request a publication number from the MASGC publications manager, John Grigsby at [john.grigsby@usm.edu](mailto:john.grigsby@usm.edu).
  - b. **MASGC Sea Grant Logo**  
This logo, whenever possible, should be located on the front cover of the publication. Secondary locations are inside the front cover, on the title page or on the back cover. MASGC's communications staff can provide a high-resolution electronic copy or printed copy; or the principal investigator can download a high resolution copy from the MASGC web site.
  - c. **Acknowledgment Statement**  
This required statement, which appears below, acknowledges the NOAA/Sea Grant support. Non-journal publications that result from Sea Grant-supported projects must contain this acknowledgment on the inside front cover or other appropriate location on the publication.

This publication was supported by the National Sea Grant College Program of the U.S. Department of Commerce's National Oceanic and Atmospheric Administration under NOAA Grant # (insert grant number), the Mississippi-Alabama Sea Grant Consortium, and (insert your university and any other cooperative sponsors you wish to credit). The views expressed herein do not necessarily reflect the views of any of those organizations.

MASGC's communications staff will provide the principal investigator with the grant number pertaining to a specific publication submission (John Grigsby (228) 818-8837 [john.grigsby@usm.edu](mailto:john.grigsby@usm.edu)).

- d. **Publication Submission**  
To properly handle the initial national distribution and inventory demands, MASGC requires the principal investigator to supply MASGC with **15 copies** of

each publication resulting from Sea Grant-funded research. When possible, submission of an electronic copy of the publication to MASGC will allow the communications staff to print additional copies of the publication and non-copy righted documents on the MASGC website. Also, if a publication is on a web site, please provide the URL to MASGC.

2. **Publication Abstract**

If the publication doesn't already contain an abstract, the principal investigator is asked to provide a brief (200 word) abstract.

3. **Publication Costs**

The estimated cost of publications must be included in the project budget. In developing this figure, principal investigators should include the following in their proposed budgets: page charges, journal reprint costs (including 15 copies for MASGC), and production costs for non-journal publications and other information products.

4. **Publication Descriptions**

Various types of publications result from Sea Grant-supported projects. The following list describes publications that qualify for distribution through MASGC's communications program. If unsure of a publication's classification, the principal investigator should contact MASGC's communications coordinator for clarification.

- a. **Technical Reports** are similar to, but usually contain more detail and data than journal articles.
  - b. **Proceedings** are records of professional symposia, workshops, or conferences. This includes both printed and CD-ROM formats.
  - c. **Extension/Advisory Service Reports, Brochures, Fact Sheets, etc.** are designed for particular user groups, may be quite specialized, and are generally attractive and readable by non-scientists. They are frequently based on Sea Grant research, but are not limited to this source.
  - d. **Books and Monographs** vary from scholarly books on specific subjects to syntheses of entire resource or problem areas.
  - e. **Journal Reprints, Book Chapters, Proceedings Papers** are mostly subject to rigorous peer review and are usually written by the investigators for use by other scientists.
  - f. **Educational Materials** encompass a variety of materials including curricula, study guides, lesson plans, posters and laboratory guides, slides, movies and videotapes. These are generally designed for teachers and/or students and usually for designated grade levels.
  - g. **Audio-visual Presentations** include slide shows, films, videotapes, radio broadcasts and/or scripts, television documentaries, and all other future formats.
  - h. **Maps, Charts, and Atlases** are representations, usually on a flat surface, of a hydrographic feature or area.
  - i. **Bibliographies/Directories** refer to reference documents that are usually comprised of lists of documents, specialists or organizations/companies.
  - j. **Handbooks/Manuals/Guides** represent concise reference documents on a particular subject.
  - k. **Computer Programs/Documentation** refers to computer programs and associated documentation written for scientific/educational purposes for a specific audience. CD-ROMs, DVDs and future software formats are included here.
  - l. **Electronic Publications** refers to digital documents that are available only over the World Wide Web. Web sites on particular topics that are produced and maintained by a Sea Grant program are also included. Programs are required to
-

send the National Sea Grant Depository an abstract, including the URL, of any document/Web site that is only available electronically. *Note: If a document is moved from one Internet location to another, please notify the MASGC communications staff, who will in turn, notify the National Sea Grant Library so that links to that site can be updated.*

- m. **Theses/Dissertations (Abstracts only)** Furnish one copy of the complete thesis or dissertation and one copy of the thesis or dissertation abstract to the MASGC office.
  - n. **Newsletters/Periodicals** serve to report on the activities of Sea Grant and related programs and present information on a wide array of marine resource topics of interest to lay audiences.
  - o. **Management Reports** include annual and biennial reports, and strategic and implementation plans.
5. **Sale of Publications**

The communications coordinator must be contacted prior to developing a publication for sale.

6. **Submission of Manuscripts for Review**

Many Sea Grant reports, research papers, extension bulletins and fact sheets are subject to peer review and the author may be asked to modify the manuscript in response to comments. Technical papers are usually not peer reviewed. Some academic departments have their own review process which authors are encouraged to use. This process contributes to the quality control of the work, and in some cases might eliminate the need for further Sea Grant review. It is the author's responsibility to ensure that this process is followed and that the submission is cleared for publication through the appropriate channels (e.g., dean, department chair, or department publications review committee).

Regardless of any external review process, each publication (except newsletters) must be submitted to the MASGC Communications Coordinator for review before it is printed. This process is to ensure that the publication meets the standards of Sea Grant; it is not a review of the project or to alter the way the principal investigator wishes to present his work in the publication.

7. **News Releases**

News releases are prepared by the MASGC Communications Coordinator from information received from researchers and other sources. News releases, written or video, are distributed to news media in Alabama and Mississippi as well as to national news media. When issuing a news release independent of Sea Grant communications, or when being interviewed by the press, scientists, educators, or outreach staff are encouraged to indicate that the research is funded by or affiliated with MASGC, as appropriate. Please provide a copy of each news release or video clip to the MASGC Communications Coordinator.

# **APPENDIX**

**MASGC Title/Cover Page**  
**MASGC Title/Cover Page Example**

**MASGC Project Summary Form (Form 90-2)**  
**MASGC Project Summary Form Example**

**Project Schedule Form**  
**Project Schedule Form Example**

**MASGC Budget Form (Form 90-4)**

**Budget Justification**  
**Budget Justification Example**

**Consent Form - Intellectual Property**

**Patent Rights (Small Business Firms and Nonprofit Organizations)**

**Certification Form CD-512**

**2008-2009 Research Merit Review Guidelines**

**2008-2009 Proposal Evaluation Form**



**TITLE/COVER PAGE  
SEA GRANT PROPOSAL  
MISSISSIPPI-ALABAMA SEA GRANT CONSORTIUM**

Project Title:					
Submitted by: (Please include full name, title, mailing and shipping address, E-mail, phone number, FAX number, for <u>all</u> principal/co-principal investigators and <u>institutional authority</u> . Also, please label the PI and number the Co-PIs in order of significance to this project.)					
Applicants <b>MUST</b> check one of the following MASGC priority areas (check <b>only</b> one):					
<input type="checkbox"/> Health and Restoration of Coastal Habitats		<input type="checkbox"/> Fisheries Ecology and Aquaculture			
<input type="checkbox"/> Seafood Safety and Processing Technology		<input type="checkbox"/> Marine Education			
<input type="checkbox"/> Coastal Community Resiliency and Resource Management		<input type="checkbox"/> Outreach (Communications, Extension, Legal)			
	Total	Year 1	Year 2	Prior Funding of Related Projects	
Sea Grant Funds:				Sea Grant Funds:	
Grantee Match Funds:				Grantee Match Funds:	
Other Source Funds:				Other Source Funds:	
Total Funds:				Total Funds:	
Proposed Starting Date:					
Estimated Completion Date:					
Principal Investigator (sign below in <b>blue</b> ink)			Title (type below)		
Institutional Authority (sign below in <b>blue</b> ink)			Title(type below)		

**TITLE/COVER PAGE  
SEA GRANT PROPOSAL  
MISSISSIPPI-ALABAMA SEA GRANT CONSORTIUM**

Project Title: 16 words or less. Should adequately describe the project. Consider that there will be people who will judge the content of a program from scanning a list of titles. Should be specific, descriptive of the activity, and clearly indicate subject and anticipated outcome.

Submitted by: (Please include full name, title, mailing and shipping address, E-mail, phone number, FAX number, for all principal/co-principal investigators and institutional authority. Also, please label the PI and number the Co-PIs in order of significance to this project.)

<p><b>PI:</b> First Last (PhD if applicable)          Title          Department          Mailing/Shipping address (indicate)          Phone          Fax          E-mail</p> <p><b>Co-PI#2:</b> First Last (PhD if applicable)          Title          Department          Mailing/Shipping address          Phone          Fax          E-mail</p>	<p><b>Co-PI #1:</b> First Last (PhD if applicable)          Title          Department          Mailing/Shipping address          Phone          Fax          E-mail</p> <p><b>Co-PI#3:</b> First Last (PhD if applicable)          Title          Department          Mailing/Shipping address          Phone          Fax          E-mail</p> <p><b>Institutional Authority:</b> V. P. for Research          Department XXX,          XXXX Street          City, State Zip          Phone number</p>
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Applicants **MUST** check one of the following MASGC priority areas (check **only** one):  
Check one that best suits your project. See MASGC's strategic plan ([www.masgc.org](http://www.masgc.org)) for the strategic areas and their description.

<input type="checkbox"/> Health and Restoration of Coastal Habitats	<input type="checkbox"/> Fisheries Ecology and Aquaculture
<input type="checkbox"/> Seafood Safety and Processing Technology	<input type="checkbox"/> Marine Education
<input type="checkbox"/> Coastal Community Resiliency and Resource Management	<input type="checkbox"/> Outreach (Communications, Extension, Legal)

	Total	Year 1	Year 2	Prior Funding of Related Projects	
Sea Grant Funds:				Sea Grant Funds:	
Grantee Match Funds:				Grantee Match Funds:	
Other Source Funds:				Other Source Funds:	
Total Funds:				Total Funds:	

Proposed Starting Date:

Estimated Completion Date:

Principal Investigator (sign below in <b>blue</b> ink)	Title (type below)
--	--------------------

Institutional Authority (sign below in <b>blue</b> ink)	Title (type below)
---	--------------------

Form 90-2 (Adapted)

## MASGC PROJECT SUMMARY FORM

**Date of Submission:**

**Institution:** Mississippi-Alabama Sea Grant Consortium

**Year:**

**Icode:** 2800

**Title:**

**Project Number:**

**Initiation Date:**

**Revision Date:**

**Completion Date:**

**Sub Program:**

**Principal Investigator:**

**Effort:**

**Affiliation:**

**Affiliation Code:**

**Co-Principal Investigator:**

**Effort:**

**Affiliation:**

**Affiliation Code:**

**Associate Investigator 1:**

**Effort:**

**Affiliation:**

**Affiliation Code:**

**Associate Investigator 2:**

**Effort:**

**Affiliation:**

**Affiliation Code:**

**S.G. Funds:**

**Matching Funds:**

**Last Year's SG Funds:**

**Last Year's Match Funds:**

**Pass-Through Funds:**

**Last Year's Pass-Through:**

**Related Projects:**

**Parent Projects:**

**Sea Grant Classification:**

**Keywords:**

**Objectives:**

**Methodology:**

**Rationale:**

90-2 Continued:

TO BE USED FOR PROGRESS AND COMPLETION REPORTS:

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**Date report is to be submitted:**

Please indicate what type of report you are submitting.

**Progress Report** \_\_\_\_\_ **Completion Report** \_\_\_\_\_

Please indicate the status of the project.

**New** \_\_\_\_\_ **Continuing** \_\_\_\_\_ **Complete** \_\_\_\_\_ **Extended** \_\_\_\_\_

If project has been extended please briefly explain the circumstances and the new project completion date.

**Summary of Progress to Date (1-2 paragraphs):**

**Project Results (Please see guidance at the end of the form.)**

- 1. Performance Measure 1: (Return on investment from the discovery and application of new sustainable coastal, ocean, and Great Lakes products; i.e. aquaculture, marine natural products, health, pharmaceuticals.)**
  - a. New Products, processes, technologies
  - b. Widely accepted beliefs or implementation of recommended approaches
- 2. Performance Measure 2: (Cumulative number of coastal, marine, and Great Lakes issue-based forecast capabilities developed and used for management; i.e. climate change, extreme natural events, pollution, invasive species, and use of land and other resources.)**
- 3. Performance Measure 3: (Number of tools, technologies, and information services that are used by NOAA partners/customers to improve ecosystem-based management.)**

90-2 Continued

**Additional Information:**

- a. Students Financially Supported: (Include full name – first, last, maiden; department, institution, degree, date degree granted or expected, thesis title. Please indicate undergraduates or high school students where applicable and indicate student level)
- b. Number of Students/Teachers Trained:
- c. Publications (journal articles, invited papers, abstracts, proceedings, books, thesis/dissertations, extension fact sheets/bulletins, videos, web sites, computer software, other):
- d. Presentations:
- e. Meetings Organized:
- f. Expected Long-term Outcomes and Impacts:
- g. Invention Disclosures:
- h. Patents:
- i. Leveraged Funds:
- j. Cooperative Support: (Identify agencies, institutions, organizations, industry, and include a brief statement of support provided.)
- k. Partnerships:
- l. Program Awards / Honors:

**Other Societal Benefits:**

**Economic impact of your project:**

**Problems Encountered:**

**New Research Directions:**

## **Guidance for Completing Performance Measures**

All NOAA programs are required to report annually on their performance to NOAA leadership, OMB, and Congress. NOAA has established performance measures for its matrix programs, and as part of the Ecosystem Research Program (ERP), the National Sea Grant Office (NSGO) will report on Sea Grant's contribution to the ERP performance measures. These measures have been developed over the past year and were intended to cover all ERP programs. Three of the measures that are well-suited to Sea Grant and capture the essence of Sea Grant are the following:

### **Measure 1: Return on investment from the discovery and application of new sustainable coastal, ocean, and Great Lakes products.**

Explanation: This measure tracks economic benefits generated by NOAA's investment in new products from coastal, ocean, and Great Lakes ecosystems. Society benefits from the discovery, exploration, and development of new sustainable coastal and ocean resources (i.e. aquaculture, marine natural products, health, pharmaceuticals.) For example, in 2003 Sea Grant support of eight pearl farms, four demonstration and training pearl hatcheries, 15 giant clam farms, and 20 sponge farms helped expand the value of Hawaii's aquaculture industry to \$25.2 million and 630 jobs. The efforts of Sea Grant and other NOAA programs to develop new drugs from marine organisms have resulted in discovery and description of more than 1,000 compounds that may be vitally important to the health industry.

### **Measure 2: Cumulative number of coastal, marine, and Great Lakes issue-based forecast capabilities developed and used for management.**

Explanation: This measure tracks benefits derived from the development of discrete forecast models. These models allow resource managers to make decisions based on predicted environmental and socioeconomic impacts related to a particular issue. Managers will use these issue-based forecasts to predict the impacts of a single ecosystem stressor (i.e. climate change, extreme natural events, pollution, invasive species, and land and resource use) and to evaluate the potential of various options to manage those stressors. These forecasts are based upon field and laboratory studies, existing data, and models predicting environmental conditions under different scenarios. Forecast capabilities are specific to a geographic area and are counted for each ecosystem as they become operational – HAB forecasts in the Gulf of Mexico and Gulf of Maine are counted as two separate forecast capabilities. Similarly, multiple, distinct forecast capabilities may be counted within a single ecosystem (i.e. NOAA may forecast HABs, pink shrimp harvest, and hypoxia in the Gulf of Mexico).

Progress toward this goal has been documented since 2001 and includes: harmful algal bloom alerts in the Eastern Gulf of Mexico and Gulf of Maine (2001), forecast model development for pink shrimp harvest and Gulf of Mexico hypoxia (2002), transfer of an operational oyster mortality forecast capability to the U.S. Army Core of Engineers (2003), transfer of an operational Eastern Gulf of Mexico harmful algal bloom alert capability to NOAA's Coastal Services Center (2004), transfer of the Great Lakes Forecasting System to NOS CO-OPS and NWS (2005), and preliminary forecasts for domoic acid in Pacific NW razor clams, coral bleaching, MSX oyster mortality, and real time jellyfish prediction in the Chesapeake Bay.

### **Measure 3: Number of tools, technologies, and information services that are used by NOAA partners/customers to improve ecosystem-based management.**

Explanation: This measure tracks ERP success in translating research findings into information, tools, and technology that improve the use and management of coastal, ocean, and Great Lakes ecosystems. (Tools or techniques used for modeling or forecasting are measured elsewhere and excluded here.) Information services include technical assistance, education materials and curricula, extension and training. Examples of tools include land cover data, benthic habitat maps, and environmental sensitivity index maps. Technologies refer to the transfer of new or underused approaches that address coastal management (e.g., remote sensing, biosensors, AUVs, genetic markers for fishery stocks) and resource development (e.g. culture systems and feeds/feeding strategies for aquaculture, marine pharmaceuticals). The application of technology to coastal resource management through synthesis, integration, training, and the development of new management tools are also included.

The tracking of the accessibility and use of information by target audiences will allow ERP to identify and expand its most effective programs and products. NOAA partners and customers include federal, state, local, and tribal authorities who make decisions that affect the state of resources in the U.S. coastal zone, and other users whose actions impact the condition of coastal ecosystems (e.g., private industry, school children).

Form 90-2 (Adapted)

## MASGC PROJECT SUMMARY FORM

More instructions in the handbook text. See section II. C. 2. and section IV.

Please submit this in MS Word or Word Perfect format so that if changes need to be made by officials they do so without interrupting you later.

**Date of Submission:** (for reports – enter date submitted)

**Institution:** Mississippi-Alabama Sea Grant Consortium

**Icode:** 2800

**Title:** use same title as made on your MASGC title/cover page

**Project Number:** (given upon award letter)

**Year:** 1 or 2

**Initiation Date:** 02/01/08

**Revision Date:** only used if your project is revised

**Completion Date:** 02/01/09

**Sub Program:**

**Principal Investigator:** last name, first name initial

**Affiliation:** insert full name of institution applying or reporting

**Affiliation Code:** see handbook section II. C. 2. 1.

**Co-Principal Investigator:**

**Affiliation:** insert Co-PI's institution

**Affiliation Code:**

**Associate Investigator 1:**

**Affiliation:**

**Affiliation Code:**

**Associate Investigator 2:**

**Affiliation:**

**Affiliation Code:**

**Effort:** in months/year rounded to 10ths

**Effort:**

**Effort:**

**Effort:**

**S.G. Funds:** funds requested for project identified in "year" field above

**Last Year's SG Funds:**

**Pass-Through Funds:**

**Matching Funds:** relative to "year" field above

**Last Year's Match Funds:**

**Last Year's Pass-Through:**

**Related Projects:** The project number(s) of other MASGC supported project(s) if any, which are directly related to this project. Limit entries to the most recent five projects.

**Parent Projects:** The project number(s) of other MASGC supported project(s) begun or completed earlier from which this project was derived

**Sea Grant Classification:**

**Keywords:** Drawn from the project with consideration for their usefulness in database searches. Limit to ten.

**Objectives:**

**Methodology:**

**Rationale:**







Form 90-4 (Adapted)

# MASGC BUDGET FORM

<b>PROJECT STATUS:</b> New <input checked="" type="checkbox"/> Continuing <input type="checkbox"/> Check if separate project grant <input type="checkbox"/>				
<b>GRANTEE:</b> Mississippi-Alabama Sea Grant Consortium			<b>PROJECT NUMBER:</b>	
<b>PROJECT TITLE:</b>				
<b>PRINCIPAL INVESTIGATOR(S):</b>			<b>DURATION:</b>	
<b>A. SALARIES &amp; WAGES</b>	<b>NO. OF PERSONNEL</b>	<b>MONTHS</b>	<b>SEA GRANT FUNDS</b>	<b>GRANTEE SHARE</b>
1. SENIOR PERSONNEL				
a. (Co) Principal Investigator:				
b. Associates (Faculty/Staff):				
Sub Total:	0	0.0	0	0
2. OTHER PERSONNEL				
a. Professionals:				
b. Research associates:				
c. Research asst. grad. students:				
d. Prof. school students:				
e. Pre-Bac. student(s):				
f. Secretarial-clerical:				
g. Technicians:				
h. Other:				
Total Salaries and Wages: (A1 through A2h)			0	0
<b>B. FRINGE BENEFITS (Charged as direct cost):</b>				
Total Salaries (A and B):			0	0
<b>C. PERMANENT EQUIPMENT</b>				
<b>D. EXPENDABLE SUPPLIES AND EQUIPMENT</b>				
<b>E. TRAVEL</b>				
1. Domestic U.S.				
2. International				
Total Travel:			0	0
<b>F. PUBLICATION &amp; DOCUMENTATION COSTS:</b>				
<b>G. OTHER COSTS:</b>				
1. Computer Costs				
2. Telephone/Postage/Fax				
3. Reference Materials				
4. Professional Fees				
5. Support Services				
6.				
7.				
8. Scholarships/Awards/Tuitions				
9. Subcontracts				
TOTAL OTHER COSTS (G1 through G9)			0	0
TOTAL DIRECT COSTS (A through G)			0	0
<b>H. F &amp; A COST</b>	1. On Campus	% of		
	2. Off Campus	% of		
TOTAL F & A COST (H1 + H2)			0	0
<b>TOTAL COSTS (A through H)</b>			0	0

# BUDGET JUSTIFICATION

Year 1

	<b>SG FUNDS</b>	<b>GRANTEE</b>
<b>A. SALARIES AND WAGES:</b>		
<b>B. FRINGE BENEFITS</b>		
<b>C. PERMANENT EQUIPMENT</b>		
<b>D. EXPENDABLE SUPPLIES &amp; EQUIPMENT (itemize)</b>	<u>amount</u>	
<b>E. TRAVEL (itemize)</b>	<u>amount</u> - - -	
<b>F. PUBLICATIONS &amp; DOCUMENTATIONS COSTS (itemize)</b>	<u>amount</u>	
<b>G. OTHER COSTS (itemize)</b>	<u>amount</u>	
<b>TOTAL DIRECT COSTS</b>	0	0
<b>H. FACILITIES &amp; ADMINISTRATIVE COSTS</b>		
On Campus _____ % of \$ _____		
Off Campus ____ % of \$ ____		
<b>Totals:</b>	0	0

# BUDGET JUSTIFICATION

Year 1

	SG FUNDS	GRANTEE
<b>EXAMPLE</b>		
<b>A. SALARIES AND WAGES:</b> [List by name and position]		7,900
<b>B. FRINGE BENEFITS</b> [Provide breakdown of benefits received when rates are 35% or higher - such as: FICA & Medicare 7.65%, Health Insurance 15.33%, Life Insurance 0.58%, etc.]		
<b>C. PERMANENT EQUIPMENT</b>		
<b>D. EXPENDABLE SUPPLIES &amp; EQUIPMENT</b> (itemize)	<u>amount</u>	
item	100	
item	50	
item	200	350
[total of amount column goes in SG Funds or Grantee column]		
<b>E. TRAVEL</b> (itemize) [list each trip and details - mileage, cost, duration, number of travelers, per diem, etc.]	<u>amount</u>	
	xxx	
	xxx	XXXX
<b>F. PUBLICATIONS &amp; DOCUMENTATIONS COSTS</b> (itemize)	<u>amount</u>	
<b>G. OTHER COSTS</b> (itemize)  [list same as above examples]	<u>amount</u>	
	xxx	
	xxx	
	xxx	XXX
<b>TOTAL DIRECT COSTS</b>	350	7,900
<b>H. FACILITIES &amp; ADMINISTRATIVE COSTS</b> On Campus <u>45</u> % of \$ <u>44,681</u> and \$28,706 Off Campus _____ % of \$ _____	20,106	12,918
<b>Totals:</b>	20,456	20,818

Note: Add lines above as needed.

# Consent Form - Intellectual Property

## Mississippi-Alabama Sea Grant Consortium

I, the undersigned, making application for Mississippi-Alabama Sea Grant Consortium (MASGC) funding do hereby acknowledge and agree to the following terms and conditions pertaining to rights to intellectual property resulting in part or wholly from Consortium funding. I understand that these policies and related operational guides thereof have been incorporated by reference into the Consortium's standard administrative guidelines, *Sea Grant Handbook*.

**I. Patent Rights:** Certain patent rights are required by federal regulations found at 37 CFR Part 401 which is incorporated herein by reference. I agree as a condition to funding to abide by the Consortium's "Patent Rights" provisions which are attached hereto as *Attachment "A"* and incorporated herein. I further agree that none of the costs associated with perfecting the rights to any inventions shall be the responsibility of MASGC.

**II. Copyright Rights:** I agree as a condition of funding from the Consortium to the following:

(a) Allocation of Principal Rights:

The contractor or its assignee shall have the right to copyright any books, publications, or other copyrightable materials developed wholly or in part through consortium funds provided under this contract, provided that the U.S. Government and the consortium hereby reserves and is granted a royalty-free non-exclusive and irrevocable right to produce, publish, or otherwise use, and to authorize others to use, the work for government or informational purposes.

(b) Acknowledgements:

All copyrightable materials without exception, resulting from funding from this Sea Grant contract shall contain or bear the following acknowledgement in a prominent place: "This work is a result of research sponsored in part by the National Oceanic and Atmospheric Administration, Department of Commerce under Grant #[insert grant number], the Mississippi-Alabama Sea Grant Consortium and [insert your university and any other cooperative sponsors you wish to credit]. The views expressed herein do not necessarily reflect the views of any of those organizations."

**Contractor:**

Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Institution: \_\_\_\_\_

Department: \_\_\_\_\_

Project Title: \_\_\_\_\_

\_\_\_\_\_

**Federal Agency:**

National Sea Grant Office  
NOAA/Sea Grant, R/SG  
SSMC-3, Eleventh Floor  
1315 East-West Highway  
Silver Spring, MD 20910

Mississippi-Alabama Sea Grant Consortium  
703 East Beach Drive  
Ocean Springs, MS 39564

37 C.F.R. § 401.14 Standard patent rights clauses.

Devised From 37 CFR 401.14

## Patent Rights (Small Business Firms and Nonprofit Organizations)

### (a) Definitions

(1) *Invention* means any invention or discovery which is or may be patentable or otherwise protectable under Title 35 of the United States Code, or any novel variety of plant which is or may be protected under the Plant Variety Protection Act (7 U.S.C. 2321 et seq.).

(2) *Subject invention* means any invention of the *contractor* conceived or first actually reduced to practice in the performance of work under this *contract*, provided that in the case of a variety of plant, the date of determination (as defined in section 41(d) of the Plant Variety Protection Act, 7 U.S.C. 2401(d)) must also occur during the period of *contract* performance.

(3) *Practical Application* means to manufacture in the case of a composition or product, to practice in the case of a process or method, or to operate in the case of a machine or system; and, in each case, under such conditions as to establish that the invention is being utilized and that its benefits are, to the extent permitted by law or government regulations, available to the public on reasonable terms.

(4) *Made* when used in relation to any invention means the conception or first actual reduction to practice of such invention.

(5) *Small Business Firm* means a small business concern as defined at section 2 of Pub. L. 85-536 (15 U.S.C. 632) and implementing regulations of the Administrator of the Small Business Administration. For the purpose of this clause, the size standards for small business concerns involved in government procurement and subcontracting at 13 CFR 121.3-8 and 13 CFR 121.3-12, respectively, will be used.

(6) *Nonprofit Organization* means a university or other institution of higher education or an organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1954 (26 U.S.C. 501(c) and exempt from taxation under section 501(a) of the

Internal Revenue Code (25 U.S.C. 501(a)) or any nonprofit scientific or educational organization qualified under a state nonprofit organization statute.

### (b) Allocation of Principal Rights

The *Contractor* may retain the entire right, title, and interest throughout the world to each subject invention subject to the provisions of this clause and 35 U.S.C. 203. With respect to any subject invention in which the *Contractor* retains title, the Federal government shall have a nonexclusive, nontransferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the United States the subject invention throughout the world.

### (c) Invention Disclosure, Election of Title and Filing of Patent Application by Contractor

(1) The *contractor* will disclose each subject invention to the *Federal Agency* within two months after the inventor discloses it in writing to *contractor* personnel responsible for patent matters. The disclosure to the agency shall be in the form of a written report and shall identify the *contract* under which the invention was made and the inventor(s). It shall be sufficiently complete in technical detail to convey a clear understanding to the extent known at the time of the disclosure, of the nature, purpose, operation, and the physical, chemical, biological or electrical characteristics of the invention. The disclosure shall also identify any publication, on sale or public use of the invention and whether a manuscript describing the invention has been submitted for publication and, if so, whether it has been accepted for publication at the time of disclosure. In addition, after disclosure to the *agency*, the *Contractor* will promptly notify the *agency* of the acceptance of any manuscript describing the invention for publication or of any on sale or public use planned by the *contractor*.

(2) The *Contractor* will elect in writing whether or not to retain title to any such invention by notifying the *Federal agency* within two years of disclosure to the *Federal agency*. However, in any case where publication, on sale or public use has initiated the one year statutory period wherein valid patent protection can still be obtained in the United States, the period for election of title may be shortened by the *agency* to a date that is no more than 60 days prior to the end of the statutory period.

(3) The *contractor* will file its initial patent application on a subject invention to which it elects to

retain title within one year after election of title or, if earlier, prior to the end of any statutory period wherein valid patent protection can be obtained in the United States after a publication, on sale, or public use. The *contractor* will file patent applications in additional countries or international patent offices within either ten months of the corresponding initial patent application or six months from the date permission is granted by the Commissioner of Patents and Trademarks to file foreign patent applications where such filing has been prohibited by a Secrecy Order.

(4) Requests for extension of the time for disclosure, election, and filing under subparagraphs (1), (2), and (3) may, at the discretion of the *agency*, be granted.

**(d) Conditions When the Government May Obtain Title**

The *contractor* will convey to the *Federal agency*, upon written request, title to any subject invention --

(1) If the *contractor* fails to disclose or elect title to the subject invention within the times specified in (c), above, or elects not to retain title; provided that the *agency* may only request title within 60 days after learning of the failure of the *contractor* to disclose or elect within the specified times.

(2) In those countries in which the *contractor* fails to file patent applications within the times specified in (c) above; provided, however, that if the *contractor* has filed a patent application in a country after the times specified in (c) above, but prior to its receipt of the written request of the *Federal agency*, the *contractor* shall continue to retain title in that country.

(3) In any country in which the *contractor* decides not to continue the prosecution of any application for, to pay the maintenance fees on, or defend in reexamination or opposition proceeding on, a patent on a subject invention.

**(e) Minimum Rights to Contractor and Protection of the Contractor Right to File**

(1) The *contractor* will retain a nonexclusive royalty-free license throughout the world in each subject invention to which the Government obtains title, except if the *contractor* fails to disclose the invention within the times specified in (c), above. The *contractor's* license extends to its domestic subsidiary and affiliates, if any, within the corporate structure of which the *contractor* is a party and includes the right to grant sublicenses of the same scope to the extent the

*contractor* was legally obligated to do so at the time the contract was awarded. The license is transferable only with the approval of the *Federal agency* except when transferred to the successor of that party of the *contractor's* business to which the invention pertains.

(2) The *contractor's* domestic license may be revoked or modified by the *funding Federal agency* to the extent necessary to achieve expeditious practical application of the subject invention pursuant to an application for an exclusive license submitted in accordance with applicable provisions at 37 CFR part 404 and *agency* licensing regulations (if any). This license will not be revoked in that field of use or the geographical areas in which the *contractor* has achieved practical application and continues to make the benefits of the invention reasonably accessible to the public. The license in any foreign country may be revoked or modified at the discretion of the *funding Federal agency* to the extent the *contractor*, its licensees, or the domestic subsidiaries or affiliates have failed to achieve practical application in that foreign country.

(3) Before revocation or modification of the license, the *funding Federal agency* will furnish the *contractor* a written notice of its intention to revoke or modify the license, and the *contractor* will be allowed thirty days (or such other time as may be authorized by the *funding Federal agency* for good cause shown by the *contractor*) after the notice to show cause why the license should not be revoked or modified. The *contractor* has the right to appeal, in accordance with applicable regulations in 37 CFR part 404 and *agency* regulations (if any) concerning the licensing of Government-owned inventions, any decision concerning the revocation or modification of the license.

**(f) Contractor Action to Protect the Government's Interest**

(1) The *contractor* agrees to execute or to have executed and promptly deliver to the *Federal agency* all instruments necessary to (i) establish or confirm the rights the Government has throughout the world in those subject inventions to which the *contractor* elects to retain title, and (ii) convey title to the *Federal agency* when requested under paragraph (d) above and to enable the government to obtain patent protection throughout the world in that subject invention.

(2) The *contractor* agrees to require, by written agreement, its employees, other than clerical and

nontechnical employees, to disclose promptly in writing to personnel identified as responsible for the administration of patent matters and in a format suggested by the *contractor* each subject invention made under *contract* in order that the *contractor* can comply with the disclosure provisions of paragraph (c), above, and to execute all papers necessary to file patent applications on subject inventions and to establish the government's rights in the subject inventions. This disclosure format should require, as a minimum, the information required by (c)(1), above. The *contractor* shall instruct such employees through employee agreements or other suitable educational programs on the importance of reporting inventions in sufficient time to permit the filing of patent applications prior to U.S. or foreign statutory bars.

(3) The *contractor* will notify the *Federal agency* of any decisions not to continue the prosecution of a patent application, pay maintenance fees, or defend in a reexamination or opposition proceeding on a patent, in any country, not less than thirty days before the expiration of the response period required by the relevant patent office.

(4) The *contractor* agrees to include, within the specification of any United States patent applications and any patent issuing thereon covering a subject invention, the following statement, "This invention was made with government support under Grant #: \_\_\_\_\_ awarded by National Oceanic and Atmospheric Administration's Office of Sea Grant, U.S. Department of Commerce in conjunction with the Mississippi-Alabama Sea Grant Consortium and [place here the name of contractor through which funding of the principal investigator(s) was contracted] [and if applicable, add other sponsorships if, after advertisement, sponsor so desires]. The government has certain rights in the invention."

**(g) Subcontracts**

(1) The *contractor* will include this clause, suitably modified to identify the parties, in all subcontracts, regardless of tier, for experimental, developmental or research work to be performed by a small business firm or domestic nonprofit organization. The subcontractor will retain all rights provided for the *contractor* in this clause, and the *contractor* will not, as part of the consideration for awarding the subcontract, obtain rights in the subcontractor's subject inventions.

(2) The *contractor* will include in all other subcontracts, regardless of tier, for experimental developmental or research work the patent rights clause required by the Office of Sea Grant

(3) In the case of subcontracts, at any tier, when the prime award with the Federal agency was a contract (but not a grant or cooperative agreement), the *agency*, subcontractor, and the *contractor* agree that the mutual obligations of the parties created by this clause constitute a contract between the subcontractor and the Federal agency with respect to the matters covered by the clause; provided, however, that nothing in this paragraph is intended to confer any jurisdiction under the Contract Disputes Act in connection with proceedings under paragraph (j) of this clause.

**(h) Reporting on Utilization of Subject Inventions**

The *Contractor* agrees to submit on request periodic reports no more frequently than annually on the utilization of a subject invention or on efforts at obtaining such utilization that are being made by the *contractor* or its licensees or assignees. Such reports shall include information regarding the status of development, date of first commercial sale or use, gross royalties received by the contractor, and such other data and information as the *agency* may reasonably specify. The *contractor* also agrees to provide additional reports as may be requested by the *agency* in connection with any march-in proceeding undertaken by the *agency* in accordance with paragraph (j) of this clause. As required by 35 U.S.C. 202(c)(5), the *agency* agrees it will not disclose such information to persons outside the government without permission of the *contractor*.

**(i) Preference for United States Industry**

Notwithstanding any other provision of this clause, the *contractor* agrees that neither it nor any assignee will grant to any person the exclusive right to use or sell any subject inventions in the United States unless such person agrees that any products embodying the subject invention or produced through the use of the subject invention will be manufactured substantially in the United States. However, in individual cases, the requirement for such an agreement may be waived by the *Federal agency* upon a showing by the *contractor* or its assignee that reasonable but unsuccessful efforts have been made to grant licenses on similar terms to potential licensees that would be likely to manufacture substantially in the United States or that under the circumstances domestic manufacture is not commercially feasible.

**(j) March-in Rights**

The *contractor* agrees that with respect to any subject invention in which it has acquired title, the



*Federal agency* has the right in accordance with the procedures in 37 CFR 401.6 and any supplemental regulations of the *agency* to require the *contractor*, an assignee or exclusive licensee of a subject invention to grant a nonexclusive, partially exclusive, or exclusive license in any field of use to a responsible applicant or applicants, upon terms that are reasonable under the circumstances, and if the *contractor*, assignee, or exclusive licensee refuses such a request the *Federal agency* has the right to grant such a license itself if the *Federal agency* determines that:

(1) Such action is necessary because the *contractor* or assignee has not taken, or is not expected to take within a reasonable time, effective steps to achieve practical application of the subject invention in such field of use.

(2) Such action is necessary to alleviate health or safety needs which are not reasonably satisfied by the *contractor*, assignee or their licensees;

(3) Such action is necessary to meet requirements for public use specified by Federal regulations and such requirements are not reasonably satisfied by the *contractor*, assignee or licensees; or

(4) Such action is necessary because the agreement required by paragraph (i) of this clause has not been obtained or waived or because a licensee of the exclusive right to use or sell any subject invention in the United States is in breach of such agreement.

**(k) Special Provisions for Contracts with Nonprofit Organizations**

If the *contractor* is a nonprofit organization, it agrees that:

(1) Rights to a subject invention in the United States may not be assigned without the approval of the *Federal agency*, except where such assignment is made to an organization which has as one of its primary functions the management of inventions, provided that such assignee will be subject to the same provisions as the *contractor*;

(2) The *contractor* will share royalties collected on a subject invention with the inventor, including Federal employee co-inventors (when the agency deems it appropriate) when the subject invention is assigned in accordance with 35 U.S.C. 202(e) and 37 CFR 401.10;

(3) The balance of any royalties or income earned by the *contractor* with respect to subject inventions, after payment of expenses (including payments to inventors) incidental to the administration of subject

inventions, will be utilized for the support of scientific research or education; and

(4) It will make efforts that are reasonable under the circumstances to attract licensees of subject invention that are small business firms and that it will give a preference to a small business firm when licensing a subject invention if the *contractor* determines that the small business firm has a plan or proposal for marketing the invention which, if executed, is equally as likely to bring the invention to practical application as any plans or proposals from applicants that are not small business firms; provided, that the *contractor* is also satisfied that the small business firm has the capability and resources to carry out its plan or proposal. The decision whether to give a preference in any specific case will be at the discretion of the *contractor*. However, the *contractor* agrees that the Secretary may review the *contractor's* licensing program and decisions regarding small business applicants, and the *contractor* will negotiate changes to its licensing policies, procedures, or practices with the Secretary when the Secretary's review discloses that the *contractor* could take reasonable steps to implement more effectively the requirements of this paragraph (k)(4).

**(l) Communication**

Communications as required above shall be made to the following address:

**National Sea Grant Office  
NOAA/Sea Grant, R/SG  
SSMC-3, Eleventh Floor  
1315 East West Highway  
Silver Spring, MD 20910**

With copies sent to:

**Director  
Mississippi-Alabama Sea Grant Consortium  
703 East Beach Drive  
Ocean Springs, MS 39564**

## CERTIFICATION REGARDING LOBBYING LOWER TIER COVERED TRANSACTIONS

Applicants should review the instructions for certification included in the regulations before completing this form. Signature on this form provides for compliance with certification requirements under 15 CFR Part 28, "New Restrictions on Lobbying."

### LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 15 CFR Part 28, for persons entering into a grant, cooperative agreement or contract over \$100,000 or a loan or loan guarantee over \$150,000 as defined at 15 CFR Part 28, Sections 28.105 and 28.110, the applicant certifies that to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure occurring on or before October 23, 1996, and of not less than \$11,000 and not more than \$110,000 for each such failure occurring after October 23, 1996.

### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

In any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure occurring on or before October 23, 1996, and of not less than \$11,000 and not more than \$110,000 for each such failure occurring after October 23, 1996.

**As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above applicable certification.**

NAME OF APPLICANT

AWARD NUMBER AND/OR PROJECT NAME

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

SIGNATURE

DATE

## **Mississippi-Alabama Sea Grant Consortium 2008-2009 Research Merit Review Guidelines**

The Mississippi-Alabama Sea Grant Consortium (MASGC) seeks to support the most meritorious marine research, education, and outreach activities in the bi-state region. Peer reviews play a key role in the evaluation of proposals. Using the following criteria, please provide written comments and a rating for each criterion on the form provided.

### **EVALUATION CRITERIA FOR PROPOSALS**

Funding determination is made primarily by merit review. MASGC uses three criteria for evaluating full proposals: (1) scientific or professional merit, (2) societal impact, and (3) integration of research with education and/or outreach. The typical proposal rationale section was evaluated during the preproposal review process. Different components of each criterion are identified and assigned a range for a numerical rating. Please use these three criteria described below as you evaluate the proposal(s).

1. **Scientific or professional merit of the proposed project (50 points maximum)**
  - Technical and practical soundness of the proposed approach; (20 points)
  - Degree to which state-of-the-art methods or novel approaches are used to solve problems or focus on new resources, timely issues, or opportunities; (10 points)
  - Potential for significant advancements in inter- or cross-disciplinary areas of endeavor; (5 points)
  - Qualification of the investigator(s) to adequately conduct and complete the proposed project. (5 points)
  - Adequacy of the institutional resources available. (5 points)
  - Overall likelihood of success (5 points)
  
2. **Societal impact (30 points maximum)**
  - Likelihood project will contribute to improved understanding of the marine environment and its resources; (10 points)
  - Likelihood of contribution to the development, wise use, and management of the state and nation's marine resources; (10 points)
  - Likelihood of the identification of new or improvement of existing opportunities for the economic uses of marine resources. (10 points)
  
3. **Integration of research with education and/or outreach (20 points maximum)**

The degree of involvement with MASGC's outreach programs (communications education, extension, or legal). Some research projects may utilize such basic science that implementation of an immediate outreach component may be difficult to achieve; however, the investigator(s) should still attempt to describe long-term outreach implementation of all proposed activities after consulting with one or more of our outreach program leaders. An MASGC outreach person has been assigned to each encouraged full proposal for this omnibus.

  - A comprehensive plan for dissemination of results to coastal stakeholders through engagement with MASGC Education and/or Outreach. (10 points)
  - Detailed evaluation procedures to measure the project's success in meeting objectives is provided. (10 points)

## **TOTAL SCORE**

The following scale is based on the total proposal score:

- **100-95 points** - outstanding proposal in all respects; deserves highest priority for support;
- **94-85 points** - high quality proposal in nearly all respects; should be supported if at all possible
- **84-75 points** - a quality proposal worthy of support;
- **74-65 points** - proposal has deficiencies; after major revisions, could be resubmitted during future competitions.
- **less than 64 points** - proposal has serious deficiencies.

## **CONFLICT OF INTEREST**

When peer reviewers sign the Proposal Evaluation Form they agree to the “Conflict of Interest Statement” on the form.

## **CONFIDENTIALITY OF PROPOSALS AND PEER REVIEWS**

MASGC receives proposals in confidence and is responsible for protecting the confidentiality of their contents. The identity of reviewers will be kept confidential. Do not copy, quote, or otherwise use any material from the proposal.

## **WHAT IS IN A GOOD REVIEW?**

Overall Length may vary considerably; one to two pages. If the review is terse, it will not provide the fruitful constructive criticism and/or information that the MASGC seeks as a guide in its decision-making.

Your review narrative should contain the following paragraphs:

1. Give a very brief overview of the topic of the proposal. Discuss the investigator(s) ability to make a rational case for the importance of the proposed project.
2. Discuss the issues identified in the scientific/professional merit criteria.
3. Discuss the issues identified in the integration of research with education and/or outreach criteria.
4. Describe why the proposal should/should not be funded.

## **THINGS TO REMEMBER**

1. Your review will go to the PI. Avoid being overly harsh, even if the proposal is weak. However, it is important to give honest feedback.
2. Try not to *under-evaluate* the proposal. There is a tendency for reviewers to fall prey to two biases. The temptation is great to really nail the shortcomings of proposals you know the most about. By contrast, those proposals on the edge of your expertise can look very appealing on the surface; with shortcomings that are less apparent. In this instance, you should look for components that are most familiar to you and explain that those are the ones on which you are commenting.

## **REVIEW PACKAGE**

- Cover Letter
- Copy of proposal
- Evaluation Form
- Merit Review Guidelines

# Proposal Evaluation Form

Fax: (228) 818-8841

---

**Principal Investigator:**

---

**Institution:**

**Return By:**

---

**Title:**

---

An anonymous copy of this review will be provided to the Principal Investigator. The identity of the reviewer will be given maximum protection from disclosure subject to the provisions of the Freedom of Information Act (USC 552).

**Conflict of Interest Statement:**

I have no affiliation or relationships that prevent me from objectively executing all the professional and ethical responsibilities of merit (peer) review. I agree not to divulge any confidential information gained during this review process.

---

Reviewer's Signature

Date

---

Reviewer's Name

---

**Comments:** (See criteria provided in review guidelines; use additional sheet(s) as necessary)

**Scientific or Professional Merit** (50 points maximum) \_\_\_\_\_ points

**Societal Impact** (30 points maximum) \_\_\_\_\_ points

**Integration of Research** (20 points maximum) \_\_\_\_\_ points

**Total Score** \_\_\_\_\_ points