

Northeast Consortium

University of New Hampshire

March 30, 2011

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For more information regarding
Northeast Consortium projects
and participants, visit the Project
Information Database at:
[www.northeastconsortium.org/
projects.shtml](http://www.northeastconsortium.org/projects.shtml)



University of Maine

Massachusetts Institute of Technology

Woods Hole Oceanographic Institution

Collaborative Research and Project Development Awards Instructions for Project Leaders

REQUIRED GRANT-RELATED DOCUMENTS

Please provide the following documents and information no later than April 15, 2011:

- Complete the 2011 Collaborative Research Award Cover Sheet (enclosed)
- If your award is recommended at a different funding level than as proposed, provide a modified work statement (1-2 pages), a revised budget, and a revised budget justification. Be sure to exactly meet the recommended budget level.
- Provide detailed information on equipment to be purchased (defined as items costing \$5,000 or more) on the equipment inventory sheet (enclosed).
- Completed NMFS Regulatory Review Questionnaire (Send hard copy in mail and electronic copy to laurinda.smith@unh.edu)

Send all requested hard copy materials (Award Cover Sheet; revised budget, justification and work statement if required; Equipment Inventory Sheet; NMFS Regulatory Review Questionnaire) to:

Laurinda Sousa Smith, Program Coordinator
Northeast Consortium
Institute for the Study of Earth, Oceans and Space
8 College Road, 142 Morse Hall, Durham, NH 03824

Send requested electronic file (NMFS Regulatory Review Questionnaire) to laurinda.smith@unh.edu

REPORTING REQUIREMENTS

The Northeast Consortium requires, annual reports, interim progress reports and a final report upon completion, for each collaborative research award. Specific guidelines and deadlines for submission of reports are included in this mailing.

NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) AND OTHER REGULATORY REVIEWS

As a condition of the Northeast Consortium's award from the National Oceanographic and Atmospheric Administration (NOAA), prior to a collaborative research award being issued, it must be reviewed by the National Marine Fisheries Service (NMFS) staff for compliance with the National Environmental Policy Act (NEPA) and other laws and regulations (e.g., marine mammal protection). The Northeast Consortium assists in facilitating this review by providing NMFS with information on awards and serving as a liaison between NMFS staff and lead project investigators. To promote as rapid a regulatory review as possible, it is helpful if project investigators address specific questions raised by NMFS staff, as listed on the enclosed questionnaire entitled *Regulatory Review Questions for Northeast Consortium Applicants*.

If you have any questions about the regulatory review process, please contact any Northeast Consortium staff member.

ETHICAL USE OF ANIMALS OR HUMANS IN RESEARCH

Please be aware that before the University of New Hampshire (UNH) can issue a sub-award on behalf of the Northeast Consortium, the research protocols must be reviewed and approved by a federally-recognized IACUC (Institutional Animal Care and Use Committee) for projects involving vertebrate animals and/or an IRB (Institutional Review Board) for projects involving human subjects. The lead institution will be required to certify that the research protocols have IACUC and/or IRB approval in the forthcoming UNH sub-award documentation.

Individual institution's IACUCs and IRBs may have slightly different procedures and standards to determine whether research protocols meet research ethics standards. Unless there are outstanding research design or work plan issues under currently negotiation with the Northeast Consortium, PIs should initiate their IACUC and/or IRB reviews in order for a timely processing of sub-award documentation in the future.

If your institution does not have an IACUC or IRB, please contact Chris Glass at the Northeast Consortium at 603-862-0122 or chris.glass@unh.edu.

Please note that Northeast Consortium awards cannot be processed and funds cannot be released prior to the return of this information to the NEC and the NMFS Regulatory Review has been completed, as has the IACUC review, if necessary. Completion of the NMFS Regulatory Review Questionnaire is required regardless of the nature of the project.

EXEMPTED FISHING PERMITS

The project leader is responsible for obtaining all appropriate, proper, and necessary permits for the proposed activities. An Exempted Fishing Permit (EFP) issued from the National Marine Fisheries Service (NMFS) will be required for any fishing or research activity that is not consistent with existing fishery management plans or regulations.

Please note that, in order to accelerate processing of EFPs and to provide the project leaders a preliminary EFP review of their project, the Northeast Consortium will provide the recommended project work plans and the project leader's answers to the Regulatory Review Questions to the appropriate staff in the NMFS Sustainable Fisheries Division. If we can be of assistance in obtaining required permits, please contact any Northeast Consortium staff member.

Instructions for obtaining an EFP, including guidelines and a checklist to determine what types of permits are needed, are available from the NMFS Northeast Regional Permit Office on the "Exempted Fishing Permits" link of www.nero.noaa.gov/ro/doc/initialapp1.htm or contact NMFS directly at:

Sustainable Fisheries Division
National Marine Fisheries Service
1 Blackburn Drive, Gloucester, MA 01930
Phone number, (978) 281-9344.

The types of issues and information that the permit staff considers when assessing a permit application include, among other things:

- Place and dates of the research.
- Gear type, including mesh size(s).
- Target species and the total amount to be caught and/or landed
- Non-target species that may be landed
- Species and amount of discards expected
- Contact with protected or endangered species

PROCEEDS FROM SELLING FISH

Any project for which research will be conducted while fishing, and/or intending to land and sell fish must explicitly state this as part of the proposal, and must keep to the project plan as proposed.

When fish are caught during collaborative research efforts using an EFP or other regulatory exemption, the Northeast Consortium encourages the participants to make appropriate budgetary and permitting arrangements in order to be able to sell the fish. Any proceeds from selling fish caught during collaborative research efforts, that do not count against individual or sector catch entitlements, must be distributed consistent with agreements made when the project is approved for funding. The usual Northeast Consortium agreement is that 25% of the proceeds will be returned to the vessel, and 75% of the proceeds must be made payable by check at the time of landing to the University of New Hampshire, and be clearly marked to be returned to the Northeast Consortium. Such an agreement must be put in place prior to receipt of funding by the lead institution. Contact Chris Glass to make arrangements (chris.glass@unh.edu; 603-862-0122).

INSURANCE, SAFETY TRAINING AND VESSEL SAFETY REQUIREMENTS

As part of submitting a proposal to conduct a collaborative research project, particularly collaborative research to be conducted at sea, it is the responsibility of Project Leaders to review the insurance coverage available through their supporting institutions and fishing vessels involved and make plans accordingly to augment this coverage if necessary.

The Project Leader is responsible for ensuring that all sea-going staff have received adequate safety and first-aid training and that certification is current.

COLLABORATIVE RESEARCH DATABASE

The Northeast Consortium Fisheries and Ocean Data Management System is available for serving all collaborative research project data. The database managers will provide assistance to project participants in submitting and formatting their data for posting to the database. The Northeast Consortium is committed to ensuring open accessibility and integration of data for many purposes and using many formats and protocols. Project leaders should be aware that the Northeast Consortium does not normally provide significant funds to support project-specific database development or management.