

Northeast Consortium

University of New Hampshire

March 30, 2011

University of New Hampshire
8 College Road
142 Morse Hall
Durham, NH 03824 USA
603 862-0136
FAX 603 862-0243

ADMINISTRATION

Christopher Glass, Director
Laurinda Sousa Smith,
Program Coordinator

REPRESENTATIVES

Christopher Glass,
Research Professor and Director
Northeast Consortium
University of New Hampshire

Paul Anderson, Director
Maine Sea Grant College
Program

Chrys Chrysostomidis,
Professor and Director
MIT Sea Grant College Program

Peter H. Wiebe, Senior Scientist
Woods Hole Oceanographic
Institution

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 for Fiscal Managers

The Northeast Consortium administers federal funding received by the University of New Hampshire (UNH) from the National Oceanic and Atmospheric Administration (NOAA). Collaborative research projects are funded as UNH subcontracts to institutions approved for receipt of federal funds. Please note the following requirements and guidelines for the expenditure of Northeast Consortium funds.

MODIFICATIONS TO THE PROJECT BUDGET

- Prior approval is required for any change that alters amounts budgeted for indirect costs, and for changes that move funds between direct and indirect cost line items.
- Prior approval is required for transfers of funds to new budget categories within an approved budget.
- Prior approval is required for any significant budget modification, including any change that alters the effort level of the investigators or the proportional funding to industry (i.e., commercial fishermen and fishing associations) and sciences (i.e., individuals affiliated with institutions dedicated to research and/or higher education).
- No prior approval is needed for transfers of funds among direct cost categories within the industry or science portions of the budget, so long as the cumulative amount of such transfers does not exceed 10 percent of the total funds in that line in the original budget.
- Prior approval is needed for purchase of any permanent equipment (i.e., costing \$5,000 or more per unit and having a useful life of more than one year), which was not identified in the approved budget and listed on equipment inventory at the time of the award.

TRAVEL RESTRICTIONS

A U.S. air carrier must be used for all travel, including international travel. Exceptions will be considered on a case-by-case basis, *prior to expenditure of any funds*. Note that the possibility of purchasing a lower fare ticket is not considered as a reason to use a foreign carrier.

Request for budget modifications and exceptions to travel restrictions should be sent 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
Phone: 603-862-0136 Fax: 603-862-0243
Email: laurinda.Smith@unh.edu

INVOICING THE NORTHEAST CONSORTIUM

Invoices should include: invoice date; billing period covered by the invoice; subcontract number; expenses tracked by the budget categories, including the original approved budget, the expenses incurred in the billing period, and the cumulative expenses from all invoices to date; and the name and contact information for the preparer of the invoice. A sample invoice is attached.

Original, hard-copy invoices should be sent to:

Sheila Skane, Assistant Director

Ocean Process Analysis Laboratory

Institute for the Study of Earth, Oceans and Space

8 College Road, 142 Morse Hall, Durham, NH 03824

OWNERSHIP OF PERMANENT EQUIPMENT

A U.S. air carrier must be used for all travel, including international travel. Exceptions will be considered on a case-by-case basis, prior to expenditure of any funds. Note that the possibility of purchasing a lower fare ticket is not considered as a reason to use a foreign carrier.

REPORTING REQUIREMENTS

All gear, apparatus, and permanent equipment (i.e., items costing \$5,000 or more) purchased using funds awarded by the Northeast Consortium and assigned to the "industry" budget in the original budget will be considered to be fixed on the fishing vessel(s) named in the original proposal and approved budget. This stipulation is intended to ensure that the Northeast Consortium achieves its stated aim "to equip and utilize commercial fishing vessels as research and monitoring platforms."

All equipment will remain in the possession of the commercial fisherman or researcher identified in the original budget, so long as that person continues to engage in federally funded research. Gear, apparatus and permanent equipment change hands with a fishing vessel, when the vessel is sold. However, if either the original or subsequent recipients cease to participate in federally funded research, the Northeast Consortium can and will request that the equipment be re-assigned to another commercial fisherman and/or fishing vessel.

REPORTING REQUIREMENTS

The Northeast Consortium requires annual reports, mid-year interim reports and a final report upon completion for each collaborative research project. Forms and guidelines for submission of reports are included as a separate document in this mailing.

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

Northeast Consortium

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).

COSTS FOR FISHING VESSEL USE

Costs for fishing vessels engaged in collaborative research will ideally be determined by agreement between the scientists and fishermen prior to submission of the proposal. Alternatively, the project leader may estimate costs, and run a competitive bid process to choose boats and set rates. Industry organizations (e.g., cooperatives, auctions, and others) may also direct a competitive bid process to choose boats and set rates. The Northeast Consortium will request written documentation of actual boat costs as necessary.