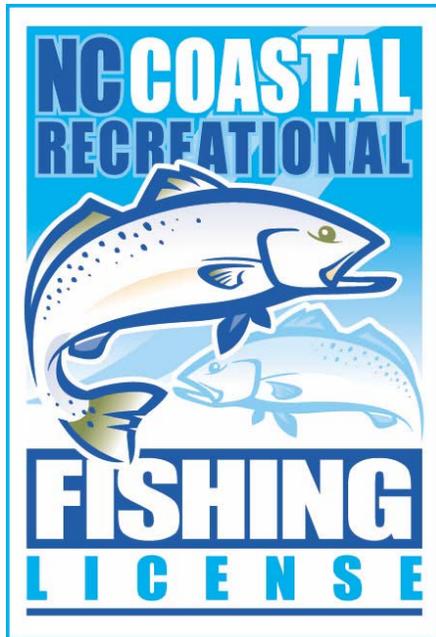


**Administrative Procedures for Funding from  
The Marine Resources Fund and  
The Marine Resources Endowment Fund**



**May 2018**

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## ACRONYMS

BRT	Biological Review Team
CRFL	Coastal Recreational Fishing License
CJRT	CRFL Joint Review Team
CPC	CRFL Project Coordinator
DEQ	Department of Environmental Quality
DMF	Division of Marine Fisheries
ER	External Reviewer
MFC AC	Marine Fisheries Commission Advisory Committee
MOU	Memorandum of Understanding between the North Carolina Division of Marine Fisheries and the North Carolina Wildlife Resources Commission for projects funded by the Marine Resources Fund and the Marine Resources Endowment Fund
PI	Principal Investigator
Plan	North Carolina Marine Resources Fund and Marine Resources Endowment Fund Strategic Plan to Manage, Protect, Restore, Develop, Cultivate, Conserve, and Enhance North Carolina's Marine Resources
RFP	Request for Proposals
SME	Subject-Matter Expert
TM	Technical Monitor
WRC	Wildlife Resources Commission

## **Introduction**

In 2005, the N.C. General Assembly enacted N.C.G.S. § 113-174.1, and the requirement for coastal recreational fishing licenses began on January 1, 2007. Revenues from license sales are deposited into two funds, depending upon the type of license: the N.C. Marine Resources Fund and the N.C. Marine Resources Endowment Fund. The legislation directs that the funds will be used *“to manage, protect, restore, develop, cultivate, conserve, and enhance the marine resources of the State.”* Furthermore, the state treasurer will disburse these revenues *“only upon written direction of the Division of Marine Fisheries of the Department of Environmental Quality.”* These funds will assist the Division of Marine Fisheries (DMF) in ensuring sustainable marine and estuarine resources and habitats for the benefit and health of the people of North Carolina.

Revenues generated from the sale of a Coastal Recreational Fishing License are deposited in the N.C. Marine Resources Fund or the N.C. Marine Resources Endowment Fund to provide monies for the enhancement of the marine resources of the state. This document establishes the procedures for the disbursement of funds for DMF projects as well as projects through Request for Proposals (RFP). The DMF is authorized to disburse these funds *to manage, protect, restore, develop, cultivate, conserve, and enhance the marine resources of the state.*

### **I) PURPOSE**

The purpose of this document is to define procedures used to disburse funds from the N.C. Marine Resources Fund and the N.C. Marine Resources Endowment Fund, as well as the procedures to be used for proposals received from applicants for funds from the N.C. Marine Resource Fund. The DMF is statutorily charged to disburse these funds to manage, protect, restore, develop, cultivate, conserve, and enhance the marine resources of North Carolina. This section outlines procedures for consideration of project funding, review, approval, accounting, and reporting.

### **II) BACKGROUND INFORMATION**

#### **A) North Carolina Marine Resources Fund**

- 1) North Carolina General Statute (N.C.G.S.) § 113-175 defines the North Carolina Marine Resources Fund (hereinafter “Marine Resources Fund”) as being comprised of revenues from the **net proceeds from the annual and 10-day Coastal Recreational Fishing License (CRFL) and the CRFL portion of the annual unified fishing and sportsman licenses.**
- 2) **The purpose of the fund is to enhance the marine resources of the state (N.C.G.S. § 113-175.1). The principal of the fund includes:**
  - (a) **Marine resources license revenues;**

- (b) **Proceeds of any gifts, grants, and contributions to the State that are specifically designated for inclusion in the Marine Resources Fund;**
  - (c) **Funds realized from the sale, lease, rental, or other grant rights to real or personal property acquired or produced from funds disbursed from the Marine Resources Fund;**
  - (d) **Federal aid project reimbursements to the extent that funds disbursed from the Marine Resources Fund originally funded the project for which the reimbursement is made.**
- 3) **The State Treasurer will hold the fund in a separate account from all other accounts. The State Treasurer will disburse the principal of the Marine Resources Fund and marine resources investment income only upon written direction from the DMF.**

B) North Carolina Marine Resources Endowment Fund

- 1) **N.C.G.S. § 113-175 defines the North Carolina Marine Resources Endowment Fund (hereinafter “Endowment Fund”) as being comprised of the net proceeds from the sale of lifetime CRFL and the CRFL portion of the unified lifetime fishing and lifetime sportsman licenses.**
- 2) **The purpose of the fund, as outlined in N.C.G.S. § 113-175.5, is to provide the citizens and residents of the State with the opportunity to invest in the future of the marine resources of the State. The principle of the fund includes:**
  - (a) **Endowment license revenues;**
    - **Proceeds of any gifts, grants, or contributions to the State that are specifically designed for inclusion in the Endowment Fund;**
    - **Proceeds of any gifts, grants, or contributions to the Marine Fisheries Commission (MFC) or DMF that are not specifically designated for another purpose;**
    - **Funds realized from the sale, lease, rental, or other grant of rights to real or personal property acquired or produced from endowment investment income;**
    - **Federal aid project reimbursements to the extent that endowment investment income originally funded the project for which the reimbursement is made;**

**(b) Transfers to the Endowment Fund;**

- **Any endowment investment income or marine resources license revenue that is credited to the Endowment Fund for the purpose of increasing the principal of the Endowment Fund.**
- 3) **The State Treasurer will hold the Endowment Fund separate and apart from all other accounts. The State Treasurer will disburse the endowment investment income only upon written direction of the DMF.**

C) Role of the DMF, MFC AC, and WRC staff

- 1) DMF of the Department of Environmental Quality (DEQ) will approve/adopt the *North Carolina Marine Resources Fund and Marine Resources Endowment Fund Strategic Plan to Manage, Protect, Restore, Develop, Cultivate, Conserve, and Enhance North Carolina's Marine Resources* (Plan). The Plan provides the overall guidance for establishing funding priorities from the Marine Resources and Endowment funds.
- 2) DMF will develop a Strategic Plan and an annual list of potential funding priorities. These priorities will be based on the program areas and objectives described in the Strategic Plan.
- 3) DMF will determine the percentage of funds or absolute amount to be released from the Marine Resources and Endowment funds for the upcoming funding cycle.
- 4) **DMF will authorize, through written direction to the State Treasurer, disbursement of the principal of the Marine Resources Fund and marine resources investment income and authorize disbursement of the endowment investment income to manage, protect, restore, develop, cultivate, conserve, and enhance the marine resources of the State.**
- 5) CRFL Project Coordinator (CPC; employed by DMF) will conduct all administrative functions (i.e., track proposals through funding process, notify recipients, request funds to be distributed to recipients, serve as technical monitor for some projects, administer the appropriate budget accounts, ensure reports are submitted and reviewed by Technical Monitors, etc.) for all proposals received and those granted funding.
- 6) DMF staff will review the technical merit of proposals submitted in response to a RFP and determine which meet Plan objectives and funding priorities in consultation with WRC staff as per the *Memorandum of Understanding (MOU) between the North Carolina Division of Marine Fisheries and the*

*North Carolina Wildlife Resources Commission for projects funded by the Marine Resources Fund and the Marine Resources Endowment Fund.* This MOU establishes a framework for cooperation between the Parties to meet the requirements of N.C.G.S. § 113-175.1(c) for disbursement of principal from the Marine Resources Fund and N.C.G.S. § 113-175.5 (c) for disbursement of investment income from the Marine Resources Endowment Fund. (1) The DMF serves as the lead agency on any matters related to the Marine Resources Fund and the Marine Resources Endowment Fund. (2) Consultation with the WRC will be satisfied by including at least one North Carolina Wildlife Resources Commission staff of at least the regional supervisor level, in decisions regarding the disbursement of the Marine Resources Fund and the Marine Resources Endowment Fund for proposals and funding requests submitted to the DMF. (3) Such input or recommendations by WRC staff shall not be binding upon DMF but shall be taken into consideration by the DMF in making any final decision. This group of DMF and WRC staff is hereafter known as the CRFL Joint Review Team (CJRT). The CJRT will jointly prioritize proposals to be presented to the DMF Director's Office.

- 7) CPC will solicit external peer review for those projects meeting plan objectives and funding priorities, but may be outside the expertise of CJRT reviewers. All external reviewers will be chosen by the CJRT to review projects where they have the specific expertise needed and will be an agency or university outside of North Carolina.
- 8) The CJRT will review the status of RFP funded projects, annually.
- 9) The Marine Fisheries Commission Advisory Committee (MFC AC) will be appointed by the Chair of the Commission, and will consist of the three recreational seats and the science seat of the Commission. The MFC AC will act in an advisory role on external projects and grants issued using CRFL funds, during both the RFP development process and proposal review. The MFC AC will offer advice on projects, which will be documented and brought before the Director of the DMF for consideration.
- 10) **All proposals for the disbursement of funds from the Marine Resources Fund and Endowment Fund shall be made by and through the DMF.**

### **DMF Internal Funding**

- D) General steps in the funding decision process for projects managed internally within DMF (per funding cycle). *The Division of Marine Fisheries Coastal Recreational Fishing License Operational Plan* will follow this internal funding process at the time its 5-year funding cycle is due to be renewed. Should DMF needs, mandates, and/or circumstances dictate, allocation from these funds may be approved solely at the

discretion of the Director's Office as per the authority provided in § 113-175.1 and § 113-175.5.

- A) DMF of the DEQ will develop a list of potential funding priorities. These priorities will be based on the Program Areas and Objectives described in the Plan.
- B) DMF Section Chiefs will review and submit funding requests to DMF management (DMF Director's Office).
- C) **DMF Director's Office review/approve the requested funding.**
- D) **DMF Director's Office will notify the State Treasurer in writing of approved disbursement of funds.**
- E) CPC and the Biological Review Team (BRT) will monitor projects and reports.
- F) DMF Director's Office and the BRT will accept the final project report.

II) Detailed steps in the funding decision process

- A) Establish Priorities Based on Program Area Objectives within the Plan.
  - 1) DMF develops initial priorities under two categories (i.e., Marine Resources and Habitat Management, Access and Education) by February 28.
- B) Section Chief Review
  - 1) DMF Section Chiefs will review and recommend funding requests from staff by March 30.
  - 2) Section Chiefs will include requests for CRFL funding in their proposed annual budget.
  - 3) Funding requests for on-going operations may be submitted by Section Chiefs for long-term program stability, which may be incorporated into the Plan by the DMF Director's Office.
- C) **DMF Director's Office review/approve the funding requests.**
  - 1) DMF Director's Office will review and approve funding requests by April 30 with an intended July 1 start date (it is also at the discretion of the DMF Director's Office to approve and start any projects at a later date).

**D) DMF Director's Office will notify the State Treasurer in writing of approved disbursement of funds.**

- 1) A letter signed by the DMF Director identifying the approved funding will be sent to the State Treasurer through the DMF Administrative Services Office no later than May 30. The CPC, as part of the DMF Administrative Services Office, will be responsible for monitoring the available funds.
- 2) Subsequent to this notification, the CPC will ensure unique cost centers are established showing the approved budget for each project by submitting a request to DEQ's Controller's Office.

**E) CPC and BRT will monitor projects and reports.**

- 1) Grants awarded to applicants will be administered by DMF. The CPC is the assigned project administrator and liaison to the grantees.
- 2) The CPC will maintain electronic copies of all grant documentation as well as hard copies of all reports to be kept with the original grant hard copy documentation. The CPC will ensure that final project reports and data deliverables are available to all who need or request them.

3) Award Action Requests:

- (a) Award action requests are administrative procedures initiated by either the grantee or the grant administrator to modify or manage the grant once the grant has been awarded and a contract executed, if necessary. Some award action requests may result in the need for an amendment to the contract. The CPC has authority to resolve award action requests except in cases where a grantee's request would result in additional expenditure of funds from either the Marine Resources or Endowment funds. This authority is necessary because many of these actions are purely administrative.
- (b) Award action requests that can be tracked, processed, and approved by the CPC alone include:
  - Extension to file a report due to extenuating circumstances (e.g., as hurricanes, unexpected illness of key project personnel, etc.)
  - Change in key personnel
  - Change in institution name
  - New sub-award, transfer, or contract
- (c) The CPC will be responsible for tracking and processing, but will need to get recommendations from the DMF Director's Office to approve the following award action requests:

- Change in scope
- Change in principal investigator (PI)
- No cost time extension
- Adjustment of budget accounts of 10% or more of the total project cost

(d) If a grantee is requesting additional funding for a previously approved CRFL project, the DMF has sole authority to make decisions to accept or deny the request. The CPC is responsible for tracking and processing the request as well as implementing DMF decisions. The process to request additional funding is as follows:

- The PI must send a letter to the CPC requesting an amendment of the proposal with justifications for additional funding.
- The CPC will check on availability of funds. If no funds are available, the CPC will compose a letter of denial signed by the DMF Director.
- If funds are available, the CPC will forward the request to the DMF Director's Office for recommendation to approve or deny.

- 4) The CPC will formally notify the DMF Director's Office as each project is completed.
- 5) The CPC will request an annual report for all internally funded DMF projects. Scientific and biological project reports shall be reviewed by BRT. Administrative report projects shall be reviewed for completeness by the Grants Program Manager. All reports that are reviewed and determined to be acceptable shall be submitted to the CPC for acceptance and posted to the CRFL information section on the DMF website.
- 6) The CPC will work with grantees to ensure they submit all reports on time.
- 7) The decision to rescind an award or to cancel an award can be made by the DMF for any reason deemed necessary.
- 8) Reports shall be submitted containing the following sections and be formatted based on the DMF Editorial Guidelines:

(a) Annual Progress Reports:

- Title page – grant name, project dates (periods covered), applicant's name, and date
- Objectives for the award period
- Activities Completed – listed by objective
- Milestone Chart – original and revised if changes occurred during project period
- Progress completed during the reporting period – bulleted items

- Deviations – planned activities not completed during the period; with an explanation for each deviation
- Activities planned during the next reporting period

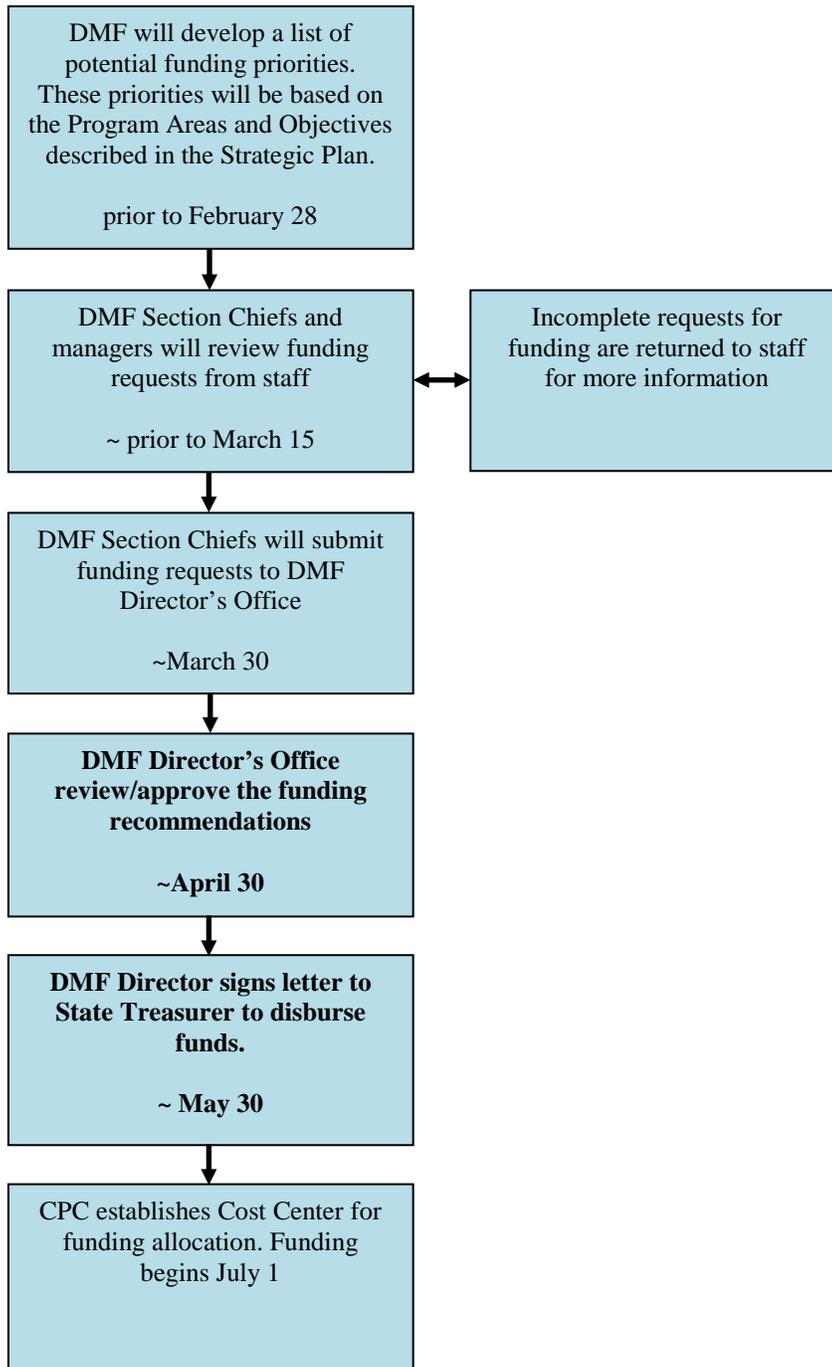
(b) Final Report:

- Title page – grant name, project dates, applicant’s name, date
- Abstract and Executive Summary
- Introduction
- Organize reporting for each project task as follows:
  - Methods/Procedures
  - Results
  - Description of sample sizes
    - Data analyses results
    - Summary and statistics
  - Discussion
    - What occurred and what did not occur that was expected
    - Explanation of data limitations
    - Deviations from project proposal identified and justified
    - Interpretation of results
    - Applicability of study results to CRFL Strategic Plan and priorities
  - Overall project conclusions including management recommendations
  - Annual budget expenditures
  - Budget deviations

9) The goal of the final project report is to disseminate findings, results, and end products of the projects.

F) DMF Director’s Office and BRT accept the final project report and make recommendations as appropriate.

## Internal DMF Funding Process Flow Chart\*



- \* Should DMF needs, mandates, and/or circumstances dictate, allocation from these funds may be approved solely at the discretion of the Director's Office as per the authority provided in § 113-175.1 and § 113-175.5.

## **External Funding Through Requests for Proposals (RFP)**

- D) General steps in the funding decision process for external projects solicited through a RFP (per funding cycle).
  - A) Annually, the Director of the DMF will decide if funds are available to warrant preparation of a RFP.
  - B) If funds are available, DMF will develop a Plan and an annual list of potential funding priorities. These priorities will be based on the Program Areas and Objectives described in the Plan.
  - C) Issue RFP (see Section II below for RFP specifics)
  - D) CPC on behalf of DMF forwards all proposals to CJRT. CJRT reviews proposals for technical merit, applicability to the Plan, and funding priorities. CPC notifies applicants to resubmit with revisions if necessary and sends out for external peer review if necessary. All external reviewers will be chosen by the CJRT to review projects where there is specific expertise needed. External reviewers will be an agency or university outside of North Carolina.
  - E) CJRT reviews any revised proposals, considers external reviewer comments, prioritizes proposals and develops recommendations for funding of projects.
  - F) MFC AC has a meeting subsequent and independent to the CJRT, to provide advice on the RFP submissions. Advice on the projects made through the MFC AC meeting will be sent to the Director of the DMF for consideration in the approval process.
  - G) DMF Director's Office reviews/approves the CJRT's prioritized funding recommendations for approval.**
  - H) DMF Director's Office will notify the State Treasurer in writing of approved disbursement of funds.**
  - I) CPC will notify each applicant of the final DMF decision to fund or not fund proposed projects.
  - J) CPC, DMF Technical Monitors (TM), and CJRT will monitor projects and reports.
  - K) The assigned TM will review the final project report for completeness and assures project objectives have been met; if project outcomes are acceptable, the CPC will release the final payment.

## II) Detailed Steps in the Funding Decision Process

### A) DMF will establish priorities based on program area objectives within the Plan.

- 1) DMF develops initial funding priorities for the next RFP cycle by February 28.
- 2) CJRT meets to review funding priorities, the new RFP, progress reports for continuing projects, and make recommendations for subsequent years of funding for multi-year grants as needed by March 31.
- 3) The MFC AC meets subsequent and independently of the CJRT to provide advice on the projects and grants that will be solicited for through the RFP.
- 4) DMF will approve funding priorities and the new RFP by April 30 as well as review the CJRT and MFC AC recommendations for projects seeking additional years of funding.
- 5) Fellowship proposals which did not identify a specific topic of study with the initial proposal will submit their topic for consideration in abstract format along with their current semi-annual report (if applicable). This abstract will be reviewed by the CJRT and, if recommended for approval, will be submitted to DMF for review and approval by April 30. The topics of study chosen for the students shall be projects that will enhance the division's ability to conserve or improve marine and habitat resources to sustain a quality recreational fishing experience for North Carolinians (directly or indirectly), and/or educate anglers about recreational saltwater fishing in North Carolina.

### B) The Annual Funding Cycle

- 1) The RFP is scheduled to be issued by DMF on June 1 of each year. If issued later, the intent is to have projects reviewed, approved, and funded to allow for a project start date of July 1 the following year. Project proposals from universities, local North Carolina governmental entities, state governmental entities, and individuals/groups (partnered with the aforementioned) will be accepted until the last business day of July each year. The RFP will include the Plan, funding priorities, proposal submission guidelines, and submission deadline.
- 2) The CPC will be responsible for sending out the RFP each year. The RFP will be posted on the DMF website.
- 3) At the time the RFP is initially distributed, a news release will be sent to media outlets currently receiving notification of the Boating Infrastructure

Grant Program RFP. The press release will provide specifics regarding the CRFL Fund RFP process, and provide CPC contact information.

- 4) The CPC will receive inquiries from persons or organizations interested in learning more about applying for CRFL grant funding. The CPC will answer questions from interested parties about the technical aspects of applying for the grants. Persons who wish to discuss the content of their proposal will be referred to an appropriate subject matter expert.
  - 5) Proposals will be sent by applicants to the attention of the CPC. All proposals (one original and 15 copies) must be received and date stamped by DMF by 5 p.m. on the closing date specified in the RFP document. The receipt of the proposal will be logged by the CPC who will verify the affiliation of the submitter as an eligible entity and assign the proposal a unique tracking number.
  - 6) Proposals will be classified based on program areas (i.e., Marine Resources and Habitat Management, Access and Education).
  - 7) No late proposals will be accepted. If any proposals are received after the published deadline, the submitter will be notified that their proposal will not be considered for funding in this cycle.
  - 8) After proposals are received, they will be properly logged into the CRFL database. Additionally, the CPC will screen proposals for completeness. If a proposal is incomplete or does not meet guidelines, then the CPC will contact the applicant and request the necessary information be provided within 10 working days.
- C) CJRT reviews proposals and applicability to the Plan, prioritizes and identifies deficiencies. Notification to resubmit proposals is sent to applicants when revisions are necessary. Requests for external peer reviews are sent out when deemed appropriate.
- 1) The CPC will submit the summary of proposals to CJRT, as well as post the proposals to the CRFL Intranet site on the DEQ Web Portal. All proposals and supporting documents (e.g., abstract/summary pages, CJRT and external reviews, etc.) will be posted to the Portal as they are received by the CPC for use by the CJRT. The CPC is responsible for making sure all CJRT members have access to the Intranet by acting as the liaison with DEQ IT to grant access. A CJRT meeting will be set up by the CPC to discuss tasks and appoint a lead for each project who will be responsible for leading discussion of individual proposals at the proposal review meeting. Each proposal must be reviewed by a minimum of three CJRT members. Proposals under the Marine Resources and Habitat Management goal may also be sent out for

external review. All external reviewers will be chosen by the CJRT to review projects where they have the specific expertise needed and will be an agency or university outside of North Carolina. It is expected that this process will be completed within 45 days after the closing of the RFP.

- 2) The CPC will notify applicants of suggested changes or responses to questions from the CJRT review process. The requested information must be supplied by the stated deadline in the form of a revised proposal.
  - 3) The review and evaluation of all written proposals will be limited to items that need to be included, areas that need clarification, organization, additional information needed, etc. to help improve the quality of the proposal. Applicants may be contacted to address questions, concerns, clarification, etc. Based on recommendations from the CJRT and possibly others, the CPC will solicit external reviewers for projects meeting plan objectives and funding priorities that may be outside the expertise of DMF and WRC staff.
  - 4) CJRT members will be asked to review their proposals prior to the proposal review meeting using a form prepared by the CPC to record their comments. The identity of reviewers will not be disclosed; however, all review forms will remain part of the application file. These reviews will be posted to the DEQ Portal by the CPC as they are received.
  - 5) A meeting of the CJRT will be called and chaired by the CPC to review all the proposals and comments received from external reviewers. CJRT members will rank each proposal within each program area (i.e., Marine Resources and Habitat Management, Access and Education) as outlined in the CRFL Strategic Plan.
  - 6) The CPC will maintain a listing of the rankings and provide it to DMF Director's Office. The CPC will also provide DMF Director's Office with copies of each proposal in numerically ranked order of the projects proposed for funding by the CJRT. These recommendations may include alternate funding levels and specific award conditions per project guidelines. A list of projects not considered will also be maintained stating the rationale for rejection. It is expected that this process will be completed by October 15<sup>th</sup>.
- D) The MFC AC subsequently and independently reviews proposals and applicability to the Plan, and provides advice on proposal awards. The CPC will report the MFC AC's opinions to the DMF Director's Office for consideration.
- E) DMF Director's Office will approve proposals recommended for funding by the CJRT as well as recommend the total amount of funds to be released from the Marine Resources Fund and Endowment Fund for the upcoming cycle.

- 1) Process completion will be scheduled for the first week in December; however, if occurring later, the intent is that funded projects will still begin on July 1.
- F) **DMF will notify the State Treasurer in writing of approved disbursement of funds.**
- 1) A letter signed by the DMF Director identifying the approved projects will be sent to the State Treasurer through the DMF Administrative Services Office no later than March. The CPC as part of the DMF Administrative Services Office will be responsible for monitoring the available funds.
  - 2) Subsequent to this notification, the CPC will ensure unique cost centers are established showing the approved budget for each project by submitting a request to DEQ's Controller's Office.
- G) The CPC will notify applicants of project funding status.
- 1) A letter detailing the funding recommendations of the DMF (approved or not approved) will be sent to each applicant by the CPC no later than January 31 (may be later with intention of July 1 start date). Letters sent to unsuccessful applicants will summarize the reasons why the proposal was not selected for funding. After the letters have been sent, a news release will be distributed announcing the proposals selected for funding.
- H) The CPC will establish contracts for proposals selected for funding.
- 1) All proposals selected for funding need to have a contract established. The CPC is responsible for obtaining all the information necessary to enter contracts into DEQ's contract processing system (IBEAM).
  - 2) Applicants who apply through a university that is a part of the UNC system will follow the UNC master agreement with DEQ.
  - 3) The CPC will have included in the contract the following special conditions statement: "A request for extension must be received three months prior to the end date of each funding period. If an extension is not requested, the contract will end on the termination date and any funds not encumbered will revert back to the Marine Resources Fund."
  - 4) All projects in which data are collected will be required, as stated in the contract special conditions, to provide the data and a data dictionary in accordance with the DMF data delivery requirements.

- 5) The CPC will ensure that all contractors are registered in eProcurement and NC Grants Management System. The CPC will obtain the NC Grants ID number for projects that require them and will inform the contractor of their obligation to register in NC Grants Management System and their need to follow proper reporting procedures. The CPC will help contractors get established in both NC Grants Management System and eProcurement if necessary.
- 6) Contracts may only budget the amount of money and cover the duration of time approved by the DMF and reported to the State Treasurer on the letter signed by the DMF Director.
- 7) DEQ has contract authority for a period of up to three years. No documentation is to be sent to DEQ Purchase & Contracts for any period longer than three years when requesting a new contract. DMF will enter a one-year contract with two additional one year options. A new contract will need to be established for any projects approved for funding for years remaining after the initial three-year contract.
- 8) Contract terms include:
  - (a) Conditions for Receipt of Funds
  - (b) Funded projects requiring additional permits from local, state or federal agencies will be the responsibility of the grantee. Failure to obtain these permits will require the grantee to return funds in full.
  - (c) All funded facilities and public access projects shall post signs providing credit to the Marine Resources Fund or Endowment Fund.
  - (d) Funded projects shall maintain intended use of facilities and public access areas for a minimum of 15 years. Capital Projects exceeding \$100,000 in total cost must result in facilities and public access lasting at least 30 years. Abandonment, conversion, prohibition of public use, etc. shall automatically require repayment to the fund(s) of an amortized portion of the total grant reflecting the remaining life of the project.
  - (e) Failure to deliver data to the DMF in a format with appropriate documentation to be used by the scientific community at the time completion of the final report shall automatically require repayment to the fund(s).
  - (f) Failure to accept identified special conditions associated with the grant shall automatically require repayment of all or portion to the fund(s).

- (g) Failure to sign a DEQ grant contract within the allotted timeframe shall render the approved grant null and void with funds reverting to the appropriate Fund.
  - (h) The CJRT must approve adjustment of budget accounts of 10% or more of the total project cost.
    - A grant recipient will contact the CPC if they are unable to use granted funds for the intended project. The CPC will notify the CJRT as well as the DMF Director's Office. The CPC will unencumber the funds from the contract and de-obligate the funds from any reports on the appropriate fund.
  - (i) Additional conditional contract terms may be added and specific to the approved project.
- 9) The CPC is to submit the contract request through CPS within five working days of receiving all necessary documentation from the contractor.
- 10) All contracts are to start no sooner than July 1.
- D) Project monitoring is performed and reporting requirements are reviewed.
- 1) Grants awarded to applicants will be administered by the DMF. The CPC is the assigned project administrator and liaison to the grantees.
  - 2) The CPC will maintain electronic copies of all grant documentation as well as hard copies of all reports to be kept with the original grant hard copy documentation. The CPC will ensure that final project reports and data deliverables are available to all who need or request them.
  - 3) Award Action Requests
    - (a) Award action requests are administrative procedures initiated by either the grantee or the grant administrator to modify or manage the grant once the grant has been awarded and a contract executed, if necessary. Some award action requests may result in the need for an amendment to the contract. The CPC has authority to resolve award action requests except in cases where a grantee's request would result in additional expenditure of funds from either the Marine Resources or Marine Endowment Funds. This authority is necessary because many of these actions are purely administrative. When the CJRT is provided updates on project status, they will be notified of any award action requests that have been acted upon since the CJRT received the last update on that project.

- (b) Award action requests that can be tracked, processed, and approved by the CPC alone include:
- Extension to file a report due to extenuating circumstances (e.g., hurricanes, unexpected illness of key project personnel, etc.)
  - No cost time extension
  - Change in key personnel
  - Change in institution name
  - New sub-award, transfer, or contract
- (c) The CPC will be responsible for tracking and processing, but will need to get recommendations from the CJRT for approving the following award action requests:
- Change in scope
  - Change in PI
- (d) If a grantee is requesting additional funding for a previously approved CRFL projects, the DMF has sole authority to make decisions to accept or deny the request. The CPC is responsible for tracking, and processing the request as well as implementing the decision of DMF. The process to request additional funding is as follows:
- The PI must send a letter to the CPC requesting an amendment of the proposal with justifications for additional funding.
  - The CPC will check on availability of funds. If no funds are available, the CPC will compose a letter of denial signed by the Director.
  - If funds are available, the CPC will forward the request to the CJRT for recommendation to approve or deny. The CPC will contact the DMF Director's Office for discussion and approval.
- 4) Projects funded under the annual RFP process will be required to send a request for extension of funding three months prior to the end of each funding period. If an extension is not requested, any encumbered funds will revert to the Marine Resources Fund.
- 5) The CPC will formally notify the DMF as each project is completed.
- 6) The CPC will request a semi-annual report for all RFP-funded projects. Scientific/biological project reports shall be reviewed by the staff member who is assigned to the project as the technical monitor. Administrative report projects shall be reviewed for completeness by the Grants Program Manager. All reports that are reviewed and determined to be acceptable shall be submitted to the CPC for acceptance and posted to the CRFL portion of the DMF website.

- 7) The CPC will work with grantees to ensure they submit progress, final, and financial reports on time. The CPC will monitor requests for extensions to close out or no cost time extensions to allow work to continue.
- 8) The decision to rescind an award or to cancel an award can be made by the DMF for any reason they deem fit. The CPC, in consultation with the CJRT, may rescind an award in cases where the DMF is unable to establish a contract with the grantee.
- 9) Reports shall be submitted containing the following sections:

(a) Progress Reports:

- Title page – grant name, project dates (periods covered), applicant’s name, and date
- Objectives for the award period
- Activities Completed – listed by objective
- Milestone Chart – original and revised if changes occurred during project period
- Progress during the period of semi-annual progress – bulleted items
- Deviations – planned activities not completed during the period. Provide an explanation for each deviation
- Activities planned during the next reporting period

(b) Final Report:

- Title page – grant name, project dates, applicants’ name, date
- Abstract/Executive Summary
- Introduction
- For Multi-Task or Objective projects, organize reporting for each task as follows
  - Procedures
  - Results
  - Description of sample sizes
    - Data analyses results
    - Summary/Statistics
  - Discussion
    - What occurred
    - What did not occur that was expected to occur
    - Explanation of data limitations
    - Deviations from project proposal identified and justified
    - Interpretation of results
    - Applicability of study results to CRFL Strategic Plan and priorities

- Overall Project Conclusions (Recommendations/Summary)
- Annual Budget expenditures
- Budget deviations

(c) Grant recipients who do not meet the reporting requirements will not receive additional funds until all outstanding reports have been submitted and accepted as being complete by DMF's Administrative Services Office. A verbal presentation of project results may be requested.

J) The assigned TM accepts the final project report and the CPC will release the final payment.

1) A goal of the final project report is to disseminate findings, results and end products of projects. A percentage of the final payment may be withheld until the applicant satisfactorily meets all approved project objectives and modifications, including submission of reports and delivery of data.

## RFP Funding Process Flow Chart

