



SCOPE Policies and Procedure (7/13/15 revised)

Table of Contents

1. Our mission	Page 2
2. Grant applications	Page 2
3. Salary and stipend support	Page 2
4. Travel	Page 2
5. Equipment	Page 2
6. Organizational assurances	Page 3
7. Required grant reports	Page 3
7.1 Renewal and Final Progress Reports	Page 3
7.2 Annual and Final Financial Statements	Page 3
7.3 Unexpended balance	Page 3
7.4 Publications and acknowledgement	Page 3
8. Payments	Page 4
8.1 Payment schedule	Page 4
8.2 Indirect costs	Page 4
8.3 Out-of-scope expenditures	Page 4
8.4 Withholding of payments	Page 4
9. Changes in grant status	Page 4
9.1 Change in research plan	Page 4
9.2 Change of institution or Principal Investigator	Page 4
9.3 Reallocation of funds	Page 5
9.4 Carry forward	Page 5
9.5 No-cost extension	Page 5
9.6 Termination	Page 5
10. Closeout	Page 5
11. Renewable reagents and data sharing	Page 5
12. Participation	Page 6
13. Auditing	Page 6
14. Contact	Page 7

SCOPE has adopted the following policies for all SCOPE program Investigators. All existing and new Investigators and their institutions must abide by these regulations. SCOPE reserves the right to modify or amend its policies governing grants.

1. SCOPE mission

The primary mission of SCOPE is to advance the frontiers of research in microbial oceanography. SCOPE sponsors a range of programs that aim to promote a deeper understanding of the ecological role that marine microorganisms play in establishing and sustaining a habitable planet.

2. Grant applications

The primary mechanism for awarding SCOPE funds is via a “Request for Applications” (RFA) that will be announced to the entire scientific community as needs arise. Proposals will be submitted according to details outlined in the RFA. Review of proposals and notification of awards will be done in a timely manner.

3. Salary and stipend support

There is no salary cap for PIs or other faculty on SCOPE; however, the compensation is prorated according to the individual’s percent effort on the grant.

There is no minimum percent effort required for PIs or other personnel on any SCOPE award, but it is expected that the PI will be fully engaged in all aspects of the research and will participate in all SCOPE annual meetings, cruise planning activities and related conferences and workshops.

SCOPE funds may only be used for personnel who are employees of the grantee institution and are eligible for benefits unless previous arrangements have been made prior to the beginning of the award.

Graduate research assistant:

There is no cap on the compensation package for a graduate research assistant on SCOPE; however, the compensation package is prorated according to the graduate research assistant’s percent effort on the grant. It is expected that compensation will be within the usual norms of the relevant department or program. The compensation package includes salary, stipend, or wages; healthcare allowance or fringe benefits; and tuition remission. Indirect costs may be taken on GRA salaries, stipends, or wages and healthcare allowance, but not on tuition.

4. Travel

Travel expenses, unless specifically approved or stated otherwise in the funding letter, are limited to \$15,000 per project per year to attend scientific meetings directly relevant to SCOPE research grant. Requests for an exception to this policy can be made in writing if additional funds (for example, if a number of employees plan to participate in a SCOPE research cruise) are required to satisfy the award objectives.

All travel and accommodation expenses exclusively related to the annual SCOPE meeting in New York City will be reimbursed outside of the award funds.

5. Equipment

All equipment purchased with SCOPE funds shall be the property of the institution.

Indirect costs on equipment are not allowable; however, indirect costs on small equipment (equipment up to \$5,000) are permissible.

6. Organizational assurances

Investigators and their institutions must abide by all applicable laws and regulations, including those governing the conduct of research on humans or animals.

SCOPE awards with human participants and/or animal research must have up-to-date ethical approval documentation as of the start date of the grant and at all times throughout the life of the grant. It is the grantee and institution's responsibility to manage all human and/or animal ethical approvals.

7. Required grant reports

SCOPE requires periodic Progress Reports and Financial Statements, as specified in the funding or award letter. If any report shows progress to be substantially less than anticipated, SCOPE reserves the right to reconsider or redirect the remaining portion of the grant.

7.1 Renewal and Final Progress Reports

Progress Reports are due 30 days prior to end of each funding year or 30 days prior to end date of the grant, unless requesting a Carry Forward or No-Cost Extension.

If you are requesting a Carry Forward or No-Cost Extension, a Renewal Progress Report & Carry Forward request must be submitted 45 days prior to the end of the funding year along with a Carry Forward or No-Cost Extension Request Budget.

7.2 Annual and Final Financial Statements

Financial Statements for all grants are due 30 days following to end of each funding year, 30 days following to end date of the grant, or within 30 days of the termination of an award, unless specified differently in the funding or award letter. Financial Statements are due 30 days following the end of the funding year even if the grantee or fellow submitted a Carry Forward or No-Cost Extension Request.

7.3 Unexpended balance

A Carry Forward or No-Cost Extension may be requested if funds in any given year are not expended. If the funds are \$20,000 or less between funding years a formal Carry Forward request is not required: funds will be automatically carried over. A formal No-Cost Extension request is required in the final funding year regardless of the amount of unexpended funds.

7.4 Publications and acknowledgement

Publication expenses are an allowable budget cost. Publications resulting from projects supported by the Simons Foundation must carry the following acknowledgement: "This work was supported by a grant from the Simons Foundation (Grant Number to Name of Awardee), and is a contribution of SCOPE."

The Simons Foundation's support should also be acknowledged by the grantee and by the institution in all public communication of work resulting from this grant, including scientific abstracts, posters at scientific meetings, press releases or other media communications, and Internet-based communications.

SCOPE Investigators notify the Directors when manuscripts are accepted for future publication, and provide them with an electronic version of the paper.

8. Payments

8.1 Payment schedule

Payments schedules are noted in the funding or award letter. Payments are made via check and are made payable only to an institution, university or equivalent organizational entity. Checks will only be sent directly to the legally designated financial administrator. Under no circumstances will SCOPE make payments payable to an individual. Acknowledgement of the payment is not required. All payments are made in U.S. dollars.

8.2 Indirect costs

Indirect costs are limited to 20 percent of modified direct costs. Indirect costs are not allowable for the following: equipment (>\$5000), tuition, and any subcontracts with budgets including indirect expenses. Indirect costs paid to a subcontractor may not exceed 20 percent of the direct costs paid to the subcontractor.

The indirect cost rate is non-negotiable.

8.3 Out-of-scope expenditures

Unless noted in the funding or award letter or without prior approval SCOPE will not be responsible for any expenditure made prior to the effective start date of the grant. SCOPE is also not responsible for unallowable expenditures as noted in the Request for Application (RFA), expenditures that are inconsistent with the approved research plan, or expenditures that exceed the total funded amount of the grant unless specifically noted in the funding or award letter or with prior approval granted by SCOPE.

8.4 Withholding of payments

Payments will be delayed if an investigator has not provided Financial Statements or Scientific Progress Reports by the due dates. SCOPE reserves the right to suspend payment if the change in key personnel is deemed unacceptable. Additionally, changing the research plan without prior written approval may result in the withholding of funds.

Grant award payments may be suspended or terminated if the investigator's Renewal Scientific Progress Report or Annual Financial Statement indicates limited progress toward goals.

9. Changes in Institution or Principal Investigator

9.1 Change in research plan

Any changes in research design and/or specific aims require a formal written request and prior written approval before implementation. Minor adjustments in approach do not require written approval; however, they should be communicated to the SCOPE leadership and further documented in the Scientific Progress Report. Changing your research plan without prior written approval may result in suspension of payments, early termination of the grant.

9.2 Change of institution or Principal Investigator

With approval SCOPE grantees may transfer their grant to a new institution, provided that both the old and new institutions agree to the change of institution. PIs may transfer their grant to domestic and foreign nonprofit organizations and public and private institutions, such as colleges or universities. The award cannot be transferred to for-profit organizations.

Under rare circumstances a change in PI will be approved. All changes in PIs require a formal written request and approval, signed by the institution's signing official. The letter must state the reason for personnel change, verification of eligibility of new personnel, verification of qualifications, verification of availability of new personnel and a description of how the change will affect the scope of work, implementation and timeline of the research project.

9.3 Reallocation of funds

Grantees are given discretion to move up to \$30,000 of the annual awarded funds across approved budget categories. Reallocations exceeding \$30,000 of the annual awarded funds require formal request and approval.

Funds may not be moved across budget categories if the result exceeds any maximum allowable cost set for a budget line item, such as salaries/wages or indirect costs.

9.4 Carry Forward

A Carry Forward may be requested for any unexpended balance from one funding year to the next. A Carry Forward request is due 45 days prior to the end date of the funding year:

If the funds are \$20,000 or less of the total annual awarded funds a formal request is not required; funds will be automatically carried forward to the next funding year. Any unexpended balance over \$20,000 of the annual awarded funds will require formal approval.

9.5 No-Cost Extension

A No-Cost Extension may be requested to extend the end date of a grant without providing additional funding. A request for a No-Cost Extension is due 45 days prior to the end date of the funding year.

9.6 Termination

SCOPE reserves the right to terminate an award at any time, in whole or in part, at their discretion. Typically, SCOPE will allow the grantee to take corrective measures should the possibility of termination arise from financial, ethical, administrative or programmatic insufficiencies. In such cases, the award will be suspended until corrective actions are taken.

Additionally, SCOPE may initiate programmatic termination if project milestones are not achieved. The SCOPE leadership will make this determination, based on the required progress reports and/or additional programmatic information that is provided or obtained.

All early terminations require the submission of a Final Progress Report, a Final Financial Statement and a check for any unexpended funds within 30 days after the termination date.

10. Closeout

To closeout your SCOPE grant you must submit the following within 30 days of the end date unless stated otherwise in your funding or award letter:

- Final Scientific Progress Report
- Final Financial Statement
- Unexpended funds

11. Renewable reagents and data sharing

It is essential that SCOPE Investigators share renewable reagents and data developed with other qualified investigators. Grantee(s) will be required to have a renewable reagents and data-sharing plan in place prior to receiving a grant. At SCOPE's discretion, the grantee(s) may be required to provide an electronic copy of all research-generated data prior to the end of the grant. In all reasonable cases, SCOPE will assume financial responsibility for costs associated with the data transfer. SCOPE personnel may, at their discretion, release these data to other qualified investigators who agree not to publish on these data until after an embargo period expires. The length of this embargo period will be established on a case-by-case basis in consultation with the grantee(s), but will generally not exceed one year after the end of the grant or fellowship or until publication, whichever comes first. These data may eventually be integrated with the other SCOPE data collections. How, when and if such data are made available to the wider research community will remain under the sole discretion of the SCOPE leadership. In addition, upon publication of results, the grantee(s) shall make every effort to deposit all research-generated data into public databases that are widely accessible, without charge, to the scientific research community. If no such databases are available that properly fit the type and content of the research-generated data, the grantee(s) shall make every effort to make these data available through electronic supplementary tables and figures, which are now routinely associated with publications.

Genetically modified model organisms are considered renewable reagents, and at SCOPE's discretion the grantee(s) may be required to share model organisms developed with SCOPE funding. This may include deposition of model organisms at a third-party repository prior to the end of the grant. The length of an embargo period for access to these models will be negotiated on a case-by-case basis in consultation with the grantee(s), but will generally expire when results on the model organism(s) are published by the grantee(s). In all reasonable cases, SCOPE will assume financial responsibility for the transfer of model organisms to a third-party repository.

12. Participation

Because interaction among scientists working at different levels can facilitate the evolution of questions, theories and methodologies, the SCOPE leadership will foster communication among research groups by hosting small workshops, teleconference lab meetings and using online tools for data sharing and discussion. SCOPE Investigators are expected to participate in these meetings, and to share data, results, reagents and other research products developed with SCOPE funds. We welcome suggestions for ways to improve communication within the scientific community at large.

13. Auditing

SCOPE has the right to request and receive from the grantee institution and/or PI copies of any and all documents and other information related to the grant at any time during or after the term of the grant or fellowship for up to three years from the date that both the financial statement and final progress report are submitted to SCOPE unless specified otherwise in the grant agreement. As a condition of accepting the award the grantee's institution agrees to maintain books and records documenting the expenditure of SCOPE grant funds in accordance with customary accounting procedures.

SCOPE also has the right to request and receive from the grantee institution and/or PI, or review during a site visit, copies of all research records related to the grant at any time during or after the term of the grant for up to three years from the date that both the financial statement and final progress report are submitted to SCOPE unless specified otherwise in the grant agreement. Research records are materials that document the research effort for laboratory or field research. These may be electronic or hard copy such as various forms of logs, notebooks, correspondence, libraries, videos, computer databases or records, audio or digital records, or even the actual products of experiments. In addition to maintaining accurate and complete research records for data analysis, all records relating to the conduct of the project are important including those that document the management of the research funds and the intellectual property.

14. Contact

Pre-award questions: scope@hawaii.edu

Please reference the PI's name, the title of the grant in all pre-award correspondence with SCOPE.

Post-award questions:

Please reference the PI's name, the title of the grant and the Simons Award Number in all post-award correspondence with SCOPE.