



General Programmatic Terms and Conditions (PTCs) for the U.S. Science Support Program associated with the International Ocean Discovery Program (NSF 14-549) Cooperative Agreement(s)

NSF 14-549: http://www.nsf.gov/publications/pub_summ.jsp?ods_key=nsf14549

1. Key Personnel:

Except for the Principal Investigator (PI) or Co-PIs identified in this award, requests to make any changes to personnel, organizations, and/or partnerships specifically named in the proposal, that have been approved as part of this award, shall be submitted in writing to the cognizant NSF Program Director for approval prior to any changes taking effect. Requests for prior approval of changes to the PI(s) must be submitted through FastLane for review by the cognizant NSF Program Director and approval by an NSF Grants Officer.

2. Program/Project Description:

The International Ocean Discovery Program (IODP) is the latest phase of a highly successful international research program involving more than twenty countries. For nearly 50 years, the National Science Foundation has developed effective strategies for facilitating participation of the U.S. science community in ocean drilling. Beginning with the Deep Sea drilling Project (1968), continuing through the Ocean Drilling Program (1985), the Integrated Ocean Drilling Program (2004) and now the IODP, the NSF has optimized participation of U.S. scientists in scientific ocean drilling through the establishment of a U.S. Science Support Program (USSSP), implemented by a Program Member Office (PMO).

The AWARDEE will provide a PMO to continue the U.S. Science Support Program which allows the participation of U.S. scientists in all activities associated with the IODP. The scope of the project addresses the following tasks:

a. Program Development and Planning:

Establish, within the U.S. scientific community, the means whereby new ideas, approaches, and proposals relevant to scientific ocean drilling can take advantage of and optimize the science that is possible utilizing the principal IODP platforms. These activities will include, but not be limited to, sponsorship of topical thematic and regional workshops and symposia.

b. Provide the required support for U.S. scientists to effectively participate in the *JOIDES* Resolution Facility Board, advisory panels, committees, and international conferences on scientific ocean drilling. This support will include travel and per diem,

and, when determined to be appropriate and within the terms of the Cooperative Agreement, salaries.

3. Pre-drilling Activities:

- a. Participation of U.S. scientists on ships of opportunity to collect site-specific data deemed critical by the *JOIDES* Resolution Facility Board or its advisory panels;
- b. Activities required for integration or refinement of site-specific and/or regional data or information that aid in short-term or long-term IODP planning.

4. Platform Participation Activities:

The AWARDDEE will support participation of U.S. scientists on expeditions on all IODP platforms. Such activities include but are not limited to:

- a. Travel to and from vessels;
- b. Pre- and post-cruise meeting travel to meet expedition requirements;
- c. Salary for U.S. scientific party members (including Co-Chief scientists) for time on board vessels and participation in post-cruise meetings to fulfill expedition requirements;
- d. Support directed towards completing the analyses and measurements required to meet expedition requirements and objectives or for initiating projects critical to mission success.

5. Education and Outreach:

- a. The AWARDDEE will keep the U.S. scientific community fully apprised of IODP plans and developments through a variety of methods such as, but not limited to, websites, newsletters, and mail servers.
- b. The AWARDDEE will promote diversity and encourage participation from under-represented groups on IODP expeditions, advisory panels, committees, and planning and thematic workshops.
- c. The AWARDDEE should encourage and support graduate student participation on drilling expeditions and planning thematic and training workshops.
- d. Education and Outreach activities of modest scope that utilize the IODP drilling platforms will be supported, with the total effort (direct costs and salary) of these activities expected to be less than \$500,000 per year.

6. Project Governance and Responsibilities:

The AWARDDEE will ensure that an efficient and effective project governing structure is in place throughout the award period to support all critical or significant project activities. The governing structure will include:

- a. An Executive Team composed of the Principal Investigator/Project Director, who will be responsible for the overall management and coordination of the USSSP; and two Co-Principal Investigators, who will assist the Project Director with the specific tasks required of the AWARDDEE;
- b. The U.S. Science Advisory Committee (USAC) for Ocean Drilling. The USAC will be a proactive body for the oversight of U.S. national participation in IODP and to provide guidance for activities associated with USSSP. This coordinating body should be representative of the U.S. scientific ocean drilling community and its interests.

7. Reporting Requirements:

- a. Annual Progress Report: The AWARDDEE shall submit an Annual Progress Report (APR) via Research.Gov at least 90 days before the end of the current period of performance of each year. The APR shall summarize the services that were provided by the USSSP in the four task areas (Program Development and Planning, Pre-drilling Activities, Platform Participation Activities, and Education and Outreach) during the period of performance. The report shall provide a comparison of budgeted costs by task to actual costs incurred with explanation of cost overruns. The report shall summarize significant substantive interaction with, or feedback from, the community or other IODP entities. The report should highlight any problems encountered, describe any areas of concern, and should give suggestions about how procedures might be changed or improved based on the AWARDDEE's experience and observations during the period of performance.
- b. Quarterly Progress Reports: The AWARDDEE shall submit Quarterly Progress Reports via Research.gov. Each report should summarize USSSP financial and operational information and activity. The quarterly report format for reporting actual costs shall follow the budget format established in the Annual Program Plan. All significant changes shall be reported in the quarterly report. The third quarterly report may be combined with the APR as required above.
- c. Final Report: The AWARDDEE will submit a Final Report that follows NSF supplied final report guidelines, via Research.gov within 90 days following the expiration of the award. The Final Report guidelines will be patterned on the Annual Report guidelines and will request cumulative narratives, data, and budgetary information.

8. Significant Changes:

The AWARDDEE shall consult with the NSF Program Officer on all changes to objectives or activities described in the annual program plan. If the NSF Program Officer determines the changes to be significant, the AWARDDEE will submit a request through FastLane using the "Change in Objective or Scope" module. This request must contain the impacts and reasons for the proposed changes. These significant changes must be reviewed by the NSF Program Officer and be approved by the NSF Grants and Agreements Official prior to implementation. All significant changes must also be reported in the quarterly report. If the NSF Program Officer determines the changes are not significant, the AWARDDEE will have flexibility to modify some of the approaches and activities, if mutually agreed.

9. Annual Program Plan:

The AWARDDEE will manage the USSSP under an Annual Program Plan, establish the facilities, organization, and staffing and perform the program management functions of scheduling, planning, budgeting, resource allocation, fiscal control, contracting, and administration necessary to fulfill the requirements.

- a. The Annual Program Plan and Budget for the next program year, to be submitted via email to the NSF Program Officer at least 60 days prior to the end of the budget period, shall cover the upcoming agreement year and shall address, but not be limited to, the following:
 - i. Review of all program elements;
 - ii. Establishment of programmatic goals and objectives;
 - iii. Scheduled activities;
 - iv. Staffing and organizational plans;
 - v. Projected budgets;
 - vi. Major planning activities;
 - vii. Recent program accomplishments.

10. Annual Program Budget Review:

NSF will provide funding targets and guidelines 90 days prior to the upcoming agreement year to the AWARDDEE for the next year's program. The AWARDDEE will develop the Annual Program Plan using this budget guidance in consultation with the NSF Program Officer. Additional guidance and planning information will be sought from USAC.

11. Support of Ongoing Management and Oversight:

The AWARDDEE will ensure full commitment and cooperation among the governing structure components, and all project staff during all ongoing NSF project management and oversight activities. These activities include:

- a. Desk or on-site review in which the AWARDDEE will ensure availability of all key institutional partners and timely access to all project documentation;
- b. NSF information gather requests, including those placed by NSF funded consultants, which relate to scientific, technical, or other aspects of the IODP, including management review activities;
- c. Meeting attendance: The AWARDDEE shall notify the NSF Program Officer in advance of any major USSSP meetings to allow NSF attendance, including all meetings held for the purposes of reviewing costs or progress, formulating plans or policies, determining direction or any other purposes that may have an effect upon the USSSP;
- d. As part of routine management activities, the PI and Co-PIs will communicate regularly with the NSF Program Officer via visits to NSF, by phone, and email;

12. Project Review and Renewal:

At the end of the third year of the performance period of the Cooperative Agreement, NSF will conduct a management review of the project. Details of the management review will be developed by NSF in consultation with the AWARDEE during the first three months of the award. The results of the management review and review of the scientific progress made on annual goals and tasks will serve as a basis to whether NSF will consider a renewal proposal to continue support beyond this agreement.