

## **PRE-AWARD POLICIES**



## POLICY ON ELIGIBILITY REQUIREMENTS FOR PRINCIPAL INVESTIGATORS

The Great Lakes Fishery Commission (Commission) grants funds to academic institutions, government agencies, and private corporations through research contracts. A Principal Investigator (PI) for each research project must be designated; the PI must be a permanent employee of the institution receiving the funds who can be held accountable for ensuring the work is completed as outlined in the contract.

For this reason, the Commission does not permit post-doctoral researchers or Ph.D. students to serve as PIs on projects unless the contracted institution has its own policy that provides accountability for post-doctoral researchers or Ph.D. students as PIs, and the institution assumes full responsibility for ensuring completion and delivery of contract deliverables. Master's students are not eligible to serve as PIs in any situation.

If requested by the Commission, PIs may be required to produce documentation of official institution policies.

## GREAT LAKES FISHERY COMMISSION

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## **Great Lakes Fishery Commission New Investigator Criteria – (You must meet all 5)**

1. New investigators must be the Principal Investigator on the proposal, not a co-investigator.
2. New investigators are full-time employees who have been employed for less than or equal to 3 years at an institution within the Great Lakes basin or are researchers at institutions outside the Great Lakes basin.
3. New investigators may NOT be employed as graduate students.
4. New investigators may NOT have received funding directly from the Great Lakes Fishery Commission for previous research totaling more than \$15,000 USD.
5. New investigators may NOT have received two awards or more from the Great Lakes Fishery Commission as a new investigator.

### **What does it mean to be a new investigator?**

Proposals submitted by new investigators are evaluated by the same criteria as other proposals and compete for the same funds. The status of new investigator is neither an advantage nor a disadvantage during the review process. Identifying new investigators serves three main purposes: 1.) It is an administrative tool the Commission uses to gauge the program effectiveness in expanding the Great Lakes research community. The research board and the Commission desire in every project cycle to bring in new investigators to the funding stream. 2.) Commission staff and review board members try to connect new investigators to existing resources and established research programs to facilitate communication among new and established researchers. 3.) If the Commission must choose between two proposals of equal quality and one is from a new investigator, the new investigator project would likely gain approval for funding.



## POLICY ON FACULTY SALARY RECOVERY IN RESEARCH PROJECT BUDGETS

The Great Lakes Fishery Commission (Commission) grants funds to academic institutions, government agencies, and private corporations through research contracts. Research project budgets can include salary recovery for academic faculty members serving as Principal Investigator or as co-investigators when justified. However, faculty on 12-month appointments are **not** eligible for salary recovery.

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## Great Lakes Fishery Commission Policy to Evaluate Graduate Student Stipends

October 11, 2012

1. The board will not consider the costs of typical, normal graduate student stipends with fringe benefits and tuition fees as a negative budget variable when evaluating research proposals for commission funding, **so long as they are consistent with university policy.**
2. Student stipends and fees proposed in budgets should be consistent with amounts typical at the university. Deviations from the norm require a clear, logical justification.
3. Commission secretariat and the board will make efforts to confirm the costs being proposed are indeed valid. The investigator may be required to provide proof that stipends being proposed are normal or typical for the institution.



## POLICY ON PAYMENT OF INDIRECT COSTS AND OVERHEAD ON RESEARCH PROJECTS FUNDED BY THE GREAT LAKES FISHERY COMMISSION

The Great Lakes Fishery Commission (Commission) is an international treaty organization established in 1955 by the *Convention on Great Lakes Fisheries* between Canada and the United States. The Commission encourages the rehabilitation and protection of healthy aquatic ecosystems in the Great Lakes, manages a sea lamprey control program, and forges partnerships with the public, natural resources agencies, and other institutions.

The Commission is not a major grantor of research; it has only a modest budget to fund research contracts each year. Payment of indirect costs and overhead seriously limits the amount of work that can be accomplished within this small program. The Commission's policy is to eliminate allocation of funds for administrative overhead and indirect costs in its contracts with government agencies and research institutions. Where cooperating entities cannot eliminate administrative overhead charges to the Commission, the Commission may grant approval for up to 5% indirect costs to be applied to the contract to secure projects that are of high priority. In addition, indirect costs on subcontracts to other entities for Commission-sponsored work may not exceed 5%.

Your support in eliminating indirect costs and overhead charges is very much appreciated and will further the rehabilitation and protection of the Great Lakes ecosystem.

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## POLICY AND PROCEDURES FOR PUBLICATION CHARGES

**Background:** Article IV, section (e), of the Convention on Great Lakes Fisheries obligates the Great Lakes Fishery Commission (Commission) to pay publication charges for papers resulting from research it sponsored, regardless of whether the project is ongoing or completed. Open-access costs may also be covered and are evaluated on a case-by-case basis.

**Purpose:** The below procedures are intended to ensure that invoices received for publication charges are eligible for payment and quickly processed.

### Procedures

- 1) Principal investigators will be provided this statement of procedures in their research contract package.
- 2) Notification invoices/queries regarding payment of publication charges should be routed to the appropriate Research Program Associate or the Senior Science Program Associate.
- 3) Authors (investigators) applying for payment of publication charges will notify the Commission in writing at the time their papers are accepted for publication.
- 4) Authors must identify (in writing) the citation for the paper and the unique project ID as a part of the notification step described in #3 above. Authors should also state the proportion of Commission financial support that was used in generating the manuscript, and reimbursement will be restricted to that amount (e.g., for a paper 50% supported by Commission funding, the Commission will pay 50% of page charges). Only peer-review journal articles or book chapters are eligible for payment, and they must have resulted from a proposal funded through the Fishery Research, Sea Lamprey Research, or Science Transfer programs. Publications must acknowledge Commission sponsorship to be eligible and should note the project ID.
- 5) Authors will be notified by the Commission regarding approval for payment of page charges after review of information submitted in #4 above.
- 6) When full payment of page charges has been approved, the publishing journal should be requested to mail the invoice directly to the Commission to the attention of the appropriate Program Associate. If only a proportion of the charges will be paid by the Commission, then invoices should be sent to the authors and then forwarded to the Commission. The citation, project ID, and proportion of eligible charges should be attached to the invoice for payment.

08/10/16

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**CONFLICT OF INTEREST STATEMENT  
FOR  
PEER REVIEWERS OF RESEARCH PROPOSALS AND TECHNICAL REPORTS**

As a peer reviewer, you are asked to review a research proposal that will assist with Great Lakes Fishery Commission (commission) funding decisions. The performance of your review requires that you be aware of potential conflicts of interest. Please read the examples of potentially biasing affiliations or relationships below.

If you cannot conduct this review due to a conflict of interest, please contact the appropriate research program associate. Conflicts of interest are not accusations and do not imply that a reviewer's judgment is compromised.

The proposal must be kept in strict confidence. If, as a peer reviewer, you gain access to information not generally available to the public, you must not use that information for your benefit or make it available for the benefit of any other individual or organization without the permission of the authors. You are not to discuss a proposal or manuscript with its authors or other colleagues. Questions about the proposal are to be discussed only with the person coordinating the review of this proposal or with commission's science director.

The commission receives proposals and manuscripts in confidence and protects the confidentiality of their contents. For this reason, you must not quote or otherwise disclose or use material from any proposal or manuscript that you review (until it is published).



## **Potential Conflicts of Interest for Great Lakes Fishery Commission Peer Reviewers**

### Competitor for funding:

1. Direct involvement with a research proposal currently competing for funding from the same commission research program.

### Relationship to applicant institution:

1. Current employment at the institution associated with the proposal or manuscript as professor, adjunct professor, visiting professor, or similar position (including multi-campus institutions).
2. Employment with the institution via consulting, an advisory arrangement, re-employment arrangement, or you are being considered for employment with the institution.
3. Employment at the same institution within the last 12 months.
4. Ownership of the institution's securities or other evidences of debt.
5. Holder of any office, governing board membership, or relevant committee chair in the institution.
6. Current enrollment as a student in the department or school of the institution that originates the proposal or manuscript.
7. Received an honorarium or award from the institution within the last 12 months.

### Relationship with an investigator, author, project director, or other person who has a personal interest in the proposal or manuscript.

1. Family or close personal relationship including marriage, civil union, or other partnership.
2. Business or professional partnership.
3. Past or present relationship as a graduate committee member or graduate student.
4. Collaboration on a project or on a book, report, or paper within the last 48 months.
5. Other relationships, such as close personal friendship, that may affect your judgment or be seen as doing so by a reasonable person familiar with the relationship.

## **Confidentiality of Peer Reviews and Reviewer Identities**

The commission's policy is that reviews and peer reviewer identities will not be disclosed, except that verbatim copies of reviews (without name and affiliation of the reviewer) will be sent to the principal investigator or lead author.



## POLICY ON BUDGET INCREASES FROM PRE-PROPOSAL TO FULL PROPOSAL STAGE

Increases in the project cost (either total or the first year's cost) beyond 5% of a pre-proposal budget require a written justification, to be submitted with the full proposal.

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