



SEP 27 2005

MEMORANDUM FOR: Richard D. Rosen, Ph.D.
NOAA Research Council, Chair

Michael Nelson
NOAA Grants Management Division, Chief

FROM: John Cortinas, Ph.D. *John Cortinas*
Research Council Cooperative Institute Committee,
Chairman

SUBJECT: Cooperative Institute Committee Memorandum #1:
NOAA Cooperative Institute Transition Plan

1) Introduction

The NOAA Research Council's (RC) Cooperative Institute (CI) Committee requests RC and NOAA Grants Management Division (GMD) approval of a CI transition plan (hereafter referred to as the Plan) described in this memorandum. The Plan describes how NOAA will transition the current CI program in each Line Office (LO) to a NOAA-wide program according to the CI policy described in NOAA Administrative Order (NAO) 216-107 (Appendix A). Concurrence with this memorandum by the Chair of the NOAA RC and the Director of the NOAA GMD will serve as the official NOAA adoption of the Plan. Any changes or exceptions to this plan must be submitted to the CI committee for final approval by the RC and the GMD.

The Plan applies to the CIs listed in Table 1. Other CIs include those awarded competitively and those created by Congressional direction. CIs created competitively prior to the adoption of the NAO 216-107 (the Cooperative Institute for Oceanographic Satellite Studies at Oregon State University and the Cooperative Institute for Climate Applications and Research at Columbia University) will be managed according to the original policy in place when the award was established, which includes a requirement for a peer-review to determine the subsequent award renewal period. These competitively awarded CIs are eligible for only one noncompetitive renewal based on the outcome of a peer review. Because of the uncertainty of annual funding associated with Congressionally directed CIs, they are not included in the Plan; however, NOAA recognizes the valuable contribution of these CIs and will issue procedures for determining which Congressionally directed awards fall under the CI policy by March 2006. Congressionally directed awards that NOAA determines should follow the CI policy will be managed according to the



relevant sections of the NAO and the CI Handbook, including a program review conducted under the auspices of the NOAA Science Advisory Board.

During the transition period, NOAA will move toward a NOAA-wide approach to managing all CI awards. Although each LO will continue to maintain their CI awards, the Committee will examine each LO's procedures and determine if an alternate NOAA-wide procedure can be used that does not put an unnecessary burden on NOAA and/or the CI. Each LO will continue to review performance reports and CI reviews will be conducted according to the policy established within each LO prior to the NOAA CI Policy. When appropriate, the Committee will issue a memorandum to communicate CI program information to the CIs and NOAA. Each Cooperative Institute Committee Memorandum (CICM) will be numbered sequentially. The Plan is CICM #1.

Table 1. Continuation Schedule for Current NOAA Cooperative Institutes

Cooperative Institute (Appendix B)	Responsible NOAA Line Office	End of Current Award	End of Continuation Period*
CIASTA	OAR	June 30, 2006	No Continuation/^
CIPSU	NWS	MOU Only	^
CIAMS	NWS	MOU Only	^
CIRP	NWS	MOU Only	^
CITM	NWS	MOU Only	^
CILER	OAR	June 30, 2006	June 30, 2007
CMER-RI ⁺	NMFS	August 31, 2006	June 30, 2008
CMER-MA ⁺	NMFS	August 31, 2006	June 30, 2008
CIFAR	OAR	June 30, 2006	June 30, 2008
CICOR	OAR	June 30, 2006	June 30, 2008
CICS-Princeton University	OAR	June 30, 2007	June 30, 2008
CMER-VIMS ⁺	NMFS	August 31, 2006	June 30, 2009
CMER-Rutgers ⁺	NMFS	August 31, 2006	June 30, 2009
CIMRS	NMFS	August 31, 2006	June 30, 2009
CIRA	OAR (NESDIS)	June 30, 2006	June 30, 2009
CIMAS	OAR	June 30, 2006	June 30, 2009
CIMMS	OAR	June 30, 2006	June 30, 2009
JIMAR	OAR	June 30, 2006	June 30, 2009
CICS-University of Maryland	NESDIS	August 31, 2006	June 30, 2009
CIMSS	NESDIS	December 31, 2005	June 30, 2010
JISAO	OAR	June 30, 2006	June 30, 2010
JIMO	OAR	June 30, 2006	June 30, 2010
CIRES	OAR	June 30, 2006	June 30, 2010
*Each CI may request up to one year (or longer for extraordinary circumstances) after this date to complete research projects. Any new CI award should begin on the following day.			
^In most cases, the current MOU will be terminated one year from the acceptance of this plan.			
+These annual awards will continue to be renewed annually until the end of the continuation period.			

2) CI Committee

The NAO establishes a standing CI committee under the RC. The CI Committee consists of representatives from each NOAA LO and a representative from the NOAA Acquisition and Grants Office. An attorney from the Department of Commerce (DOC) Federal Assistance Law Division (FALD) serves as an advisor to the Committee. The RC officially created the Committee on July 18, 2005 and charged it with developing (1) a committee charter, (2) a transition plan, and (3) a CI handbook. The CI Committee has been meeting regularly since July 21, 2005 to complete these tasks. It will provide frequent updates throughout the transition period to the RC on its activities and create a website that provides information about the transition and the NOAA CI Program. The website will be accessible to the public, with the appropriate sections restricted for NOAA access only. When the web site is operational, it will be accessible through the NOAA Research Council web site at www.nrc.noaa.gov.

3) CI Handbook

The CI Committee will develop a CI Handbook that will describe all procedures for implementing the CI policy, as required by the NAO. The Handbook will clearly describe the roles and responsibilities of various parties and the necessary procedures for establishing, maintaining, renewing, and, if necessary, terminating a NOAA CI. Because some of the procedures in the handbook will be new, the Committee views the handbook as a dynamic document that may need revisions or additions after NOAA has established the first CI according to the new policy. The Committee will obtain public comment on the contents of the initial Handbook after RC approval through a Federal Register notice. A draft of the Handbook should be available for public comment by November 21, 2005. (Any schedule changes will be posted on the CI website.) An outline of the Handbook is shown in Appendix C. The Handbook will be available on the CI website.

4) CI Continuation Schedule

The CI Policy requires all new CIs to be awarded through an open competition. It also states that all CIs awarded non-competitively will be given a continuation of their current award for a period of no more than five additional years beyond the end of their current award to allow NOAA sufficient time to transition to the new policy. NOAA expects to sunset all current CI awards created non-competitively by 2010 and award the first CI under the new CI Policy in 2007. If a current CI applies for a new award and is not successful, NOAA will begin a sunset process for a period that usually does not exceed 12 months (the period may be longer for extraordinary circumstances) at the end of the CI's current award. The sunset period is based on an allowable one-time no-cost time extension of the award for up to 12 months as allowed by Federal regulations (15 CFR 14.25). If additional funding is needed to close down the CI or complete research projects funded under the award during the sunset period, NOAA may provide supplemental funding for these activities. Any supplemental funding requests must be submitted to NOAA by the CI after consultation with the appropriate LO CI Program Manager. Current CIs that

successfully compete for a new CI will receive a new five-year award and will not need to go through a sunset process.

The continuation schedule for the current CIs was determined by the CI Committee based on input from each LO CI program manager. Each LO evaluated the impact of a new competition on ongoing NOAA-supported research at each CI and an assessment of the LO's available resources to maintain the current CI award and prepare for a new competition, which will take roughly 18 months to establish (Fig. 1). The length of the establishment period is necessary because of a new requirement of NOAA-wide involvement in the establishment of all CIs and the process associated with competitive awards, as described in the NAO.

Activity	Months																	
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Program(s), GT(s), and LO(s) write and submit proposal for a new CI to the RC	█	█																
RC Review			█															
NEC/NEP Review and NOAA Administrator Approval				█														
Write and publish RFP as a Federal Register notice and prepare FFO for grants.gov				█	█													
Accept Applications						█	█											
Review Applications								█	█									
Submit Recommendation to GMD for Processing										█	█	█						
Announce Award													█					
Begin Research Planning with CI and Write MOU/MOA														█	█	█	█	█
CI Award Begins																		█

Figure 1. Timeline for Establishing a New CI.

Each LO carefully evaluated the impact of a new competition on NOAA-funded research by considering various factors, such as the level of current NOAA funding, the number of

scientists and staff supported by NOAA funding, the age of the CI, the outcome of any CI reviews, and any other special circumstances. Evaluating these factors, along with knowledge of NOAA's current research priorities, NOAA will continue 18 CIs during the transition period. (This total does not include two NOAA CIs that were established competitively.) NOAA will allow each of the 18 CIs to continue beyond the end of the current awards according to the schedule shown in Table 1 only during the transition period. NOAA will issue a CICM for the CIs soon after the approval of the Plan that will describe the procedures for requesting a continuation of their award.

NOAA will terminate the MOU of all four NWS CIs and one OAR CI (CIASTA) according to the terms of each MOU. OAR also will not renew the current cooperative agreement (CA) associated with CIASTA. Although these five CIs have provided NOAA with beneficial research, their MOUs will be terminated and the CA not renewed because: (1) the NWS CIs lack an umbrella cooperative agreement for funding all CI research and administrative activities, and (2) a shift in NOAA research priorities has resulted in a lack of additional funding for CIASTA. These CIs, like any current CI, remain eligible to apply to any future CI competitive announcements.

5) Additional Transition Activities

To maintain and encourage good communication between NOAA and all the CIs, NOAA will organize a meeting in Spring 2006 for all NOAA CIs directors and their administrative officers to discuss the new CI program as well as other administrative and grant issues and opportunities relevant to the CIs with the appropriate NOAA and FALD employees. This meeting will also provide opportunities for CI directors and NOAA managers to discuss future research opportunities. The meeting will be held in Silver Spring, MD.

Appendix A. NOAA Policy on Cooperative Institutes

NOAA FORM 58-3 (4-04)

National Oceanic and Atmospheric Administration	NOAA Administrative Order <u>216-107</u>	
NOAA ADMINISTRATIVE ORDER SERIES	DATE OF ISSUANCE September 16, 2005	EFFECTIVE DATE September 2, 2005
SUBJECT NOAA POLICY ON COOPERATIVE INSTITUTES		
<p><u>SECTION 1. PURPOSE.</u></p> <p>.01 This Order establishes a policy associated with National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes (CIs). This policy sets forth basic principles to be applied in making decisions regarding NOAA CIs. It supports NOAA's intent to maintain robust cooperative relationships with academic and non-profit research institutions that demonstrate the highest level of performance and conduct research that is consistent with the NOAA strategic plan and supporting research documents, and aligned with NOAA's mission goals.</p> <p>.02 This Order establishes a Standing Committee for CIs (hereafter, the CI Committee) under the NOAA Research Council (RC). The CI Committee will include at least one representative from each NOAA Line Office (LO) and the NOAA Acquisition and Grants Office. The CI Committee shall ensure compliance with this Order and, when requested, will provide information to assist the RC with general CI program oversight.</p> <p>.03 This Order authorizes and establishes NOAA's Cooperative Institutes Handbook (hereafter, the CI Handbook) to be written and maintained by the CI Committee. The CI Handbook will contain all the procedures for implementing this policy.</p> <p>.04 NOAA CIs established under this Order are considered to be Institutional Awards for purposes of the Department of Commerce Grants and Cooperative Agreements Interim Manual (February 2002, as amended), and of NOAA's existing policies for grants and cooperative agreements implementing Institutional Programs and Awards.</p> <p><u>SECTION 2. SCOPE.</u></p> <p>.01 This Order covers the policy for establishing and maintaining all new NOAA CIs established after the effective date of the Order and those CIs established competitively prior to that date. All other CIs established prior to the effective date of this Order will continue to be maintained by the responsible LO under the terms of the existing cooperative agreement and extension thereto; such extension may not exceed a period of 5 years. If NOAA determines that a need exists for a CI, then the procedures described in the CI Handbook for competitively establishing a CI will be followed. The Order also prescribes the responsibilities of the RC, LOs, and Goal Teams (GTs) in the implementation of this policy.</p>		

.02 This Order is intended to aid the internal management of NOAA and is not intended to create any right or benefit enforceable at law by a party against NOAA, the Department of Commerce, or its officers.

SECTION 3. POLICY.

.01 NOAA may establish a CI when NOAA determines that it will sponsor a long-term (5-10 years) collaborative partnership with one or more outstanding non-federal, non-profit research institutions. For NOAA, the purpose of this partnership is to promote research, education, training and outreach aligned with NOAA's mission, to obtain research capabilities that do not exist internally, and/or to expand research capacity in NOAA-related sciences, in order:

- a. to conduct collaborative, long-term research that involves NOAA scientists and those at the research institution(s) from one or more scientific disciplines of interest to NOAA;
- b. to utilize the scientific, education, and outreach expertise at the research institution(s) that, depending on the research need determined by NOAA, may or may not be located near a NOAA facility;
- c. to support student participation in NOAA-related research studies; and
- d. to strengthen or expand research capacity within the research institution(s) in NOAA-related research by providing sufficient funding to support administrative and scientific research activities.

.02 A CI may consist of one or more research institutions that demonstrate outstanding performance within one or more established research programs in NOAA-related sciences. These institutions may include Minority Serving Institutions and universities with strong departments that can contribute to the proposed activities of the CI.

.03 NOAA will use an open competition and merit-based peer review for creating new CIs. A limited competition may be used when NOAA determines that it is in the best interest of the government to restrict the pool of qualified applicants. The rationale for such a restriction must be justified under existing Department of Commerce and NOAA-wide federal assistance policies; and the rationale shall be published in the Federal Register and the notice of Federal Funding Opportunity (FFO).

.04 New CIs may be proposed by one or more LOs, GTs, and/or the RC according to the procedures for establishing CIs described in the Handbook. Only the Under Secretary of Commerce for Oceans and Atmosphere can approve the establishment of a new CI.

.05 To stress the collaborative nature and investment in a CI by both NOAA and the research institution, cost-sharing shall be required and will be considered as a factor when evaluating and selecting new CIs.

.06 NOAA shall encourage research institutions with existing CIs that are awarded a new CI to consolidate management, administrative and oversight activities into one CI, when possible.

.07 CIs will be established at research institutions that have a strong education program with established degree programs in NOAA-related sciences and that also encourage student participation in NOAA-related research studies.

.08 CIs are expected to provide significant coordination of resources among all the non-government partners and to promote the involvement of students and postdoctoral scientists in NOAA-funded research.

.09 To foster collaborations, NOAA encourages the collocation of research institution(s) and government scientists.

.10 NOAA shall enter into a Memorandum of Agreement (MOA) with the research institutions(s) in order to formalize the working relationship between NOAA and the research institution(s). The MOA will include information on the use of an Executive Board and a Council of Fellows to provide management oversight and scientific guidance, respectively, for the CI. The MOA also shall address the use of facilities, administrative expectations of the CI, human resource relationships, procedures for review of projects and proposals, requirements for compliance with NOAA IT security policies, and intellectual property issues. The MOA will be incorporated into the award as an additional term and condition.

.11 To provide sufficient time to conduct long-term research and increase the research capacity at a CI, NOAA will provide adequate funding to support research and administrative activities for a period of five years with an option to renew the CI award for one additional period of up to five years.

.12 The decision to renew the CI will be based on the outcome of an extensive peer review near the beginning of the fourth year, to be conducted under the auspices of the NOAA Science Advisory Board. This review will include a measurement of CI performance relative to well-established, mutually agreed-upon performance measures defined by NOAA and the research institution. NOAA will use the peer review to determine the renewal period (1-5 years) and the level of funding commensurate with the final review rating. Annual performance also will be evaluated by the responsible LO using the same performance measures. These performance measures will be incorporated into the award as an additional term and condition.

.13 Funding for a CI can be terminated prior to the end of the current award period in accordance with 15 CFR 14.61. Reasons for termination may include poor research quality due to failure to comply with a specific term of the award, poor CI management, poor fiscal management, inability to complete proposed research within the time proposed, and/or the unavailability of NOAA funding for any prospective research area(s) pursued by the CI.

.14 The Under Secretary of Commerce for Oceans and Atmosphere is authorized to designate CIs and use the personnel, services, or facilities of the research institution under a cooperative

agreement for NOAA research, education, training, and outreach to support NOAA's mission under the CI.

SECTION 4. DEFINITIONS

.01 Cooperative Institute - A NOAA supported, non-federal, non-profit organization that has an established outstanding research program in one or more areas that are relevant to the NOAA mission. CIs are established at research institutions that also have a strong education program with established degree programs in NOAA-related sciences. A CI engages in research directly related to NOAA's long-term mission needs that require substantial involvement of one or more research units within the parent organization or other organizations and one or more NOAA programs. An individual CI can include multiple research institutions. The CI provides significant coordination of resources among all the non-government partners and promotes the involvement of students and postdoctoral scientists in NOAA-funded research. The CI provides mutual benefits, with value provided by all parties. A CI is synonymous with a Joint Institute.

.02 Research Institution - The parent institution of a CI.

.03 Cooperative Agreement - The legal instrument reflecting a relationship between NOAA and a recipient whenever: (1) the principal purpose of the relationship is to transfer money, property, services, or anything of value to accomplish a public purpose of support or stimulation authorized by Federal statute; and (2) substantial involvement (e.g., collaboration, participation, or intervention by NOAA in the management of the project) is anticipated between NOAA and the recipient during performance of the contemplated activity. Cooperative agreements are subject to the same OMB, Treasury, and other federal laws and policies as grants. (See 31 U.S.C. 6305 and definition in the DOC Grants and Cooperative Agreements Manual.)

.04 Institutional Award - A grant or cooperative agreement under which funds should be initially awarded based on competition with the intent to maintain a long-term partnership between NOAA and the recipient so that new awards may be made on a noncompetitive basis if the recipient performs satisfactorily and submits the appropriate application document, and if the results of the periodic reviews validate the effectiveness and continued desirability of the use of institutional awards for the program. (See definition in the DOC Grants and Cooperative Agreements Manual.)

.05 NOAA Research Council - The Council provides corporate oversight and develops policy to ensure that NOAA research activities are of the highest scientific quality, meet long-range societal needs, take advantage of emerging scientific and technological opportunities, shape a forward-looking research agenda, and are accomplished in an efficient and cost effective manner. The Council consists of members who have been appointed by the Assistant Administrators of each of the NOAA Line Offices and other NOAA directors.

.06 Science Advisory Board - A Federal Advisory Committee with responsibility to advise the Under Secretary of Commerce for Oceans and Atmosphere on long- and short-range strategies for research, education and the application of science to resource management and environmental assessment and prediction. Composed of eminent scientists, engineers, resource

managers, and educators, the diverse membership of the Board assures expertise reflecting the full breadth of NOAA's responsibilities as well as the ethnic and gender diversity of the United States.

.07 Goal Team - A NOAA team of employees, led by a Goal Team Lead, that manages and oversees the activities under each of the NOAA mission goals in the NOAA Strategic Plan. Goal teams are made up of multiple programs, each led by a program manager.

SECTION 5. AUTHORITY.

.01 NOAA is authorized (15 U.S.C. 1540) to enter into cooperative agreements and other financial agreements with any nonprofit organization:

a. to aid and promote scientific and educational activities to foster public understanding of NOAA or its programs; and

b. to solicit private donations for the support of such activities.

.02 NOAA also has been delegated specific authority given to the Secretary of Commerce to enter into cooperative agreements with the Joint and Cooperative Institutes as designated by NOAA to use the personnel, services, or facilities of such organizations for research, education, training, and outreach (118 STAT. 71).

.03. NOAA has a number of other programmatic statutes that also authorize federal assistance for climate and global change; coastal oceans and management of marine resources; weather services; and worldwide environmental data.

SECTION 6. RESPONSIBILITIES.

.01 The LO assigned by the RC during the establishment process has the primary responsibility for administering the CI award(s). This responsibility includes oversight of the initial CI competition, CI performance, funding to the CI throughout the award period, and managing the renewal review process. If CI funding is provided by multiple LOs, the primary LO must involve the others when making any recommendations for reviewing, renewing or terminating the CI. If a CI links one or more NOAA entities with a nearby research institution, or if there is a particularly strong connection with one or more NOAA offices, then the directors of those offices and the LO CI program manager, or their representatives, should be involved jointly (with representatives of the parent institution) in setting the research goals of the CI and participating in the review process to establish or continue a CI.

.02 The CI Committee is responsible for establishing and reviewing all procedures pertaining to NOAA CIs and the implementation of the CI policy. These procedures will be documented in the CI Handbook and posted on a NOAA website. The CI Committee will provide aggregate financial and performance information on the NOAA CIs upon request of the RC and/or any NOAA office.

.03 The RC is responsible for reviewing recommendations from LOs or the GTs for establishing CIs, designating the LO that is responsible for maintaining the CI, approving the review guidelines for the renewals, and overseeing the CI program.

SECTION 7. EFFECT ON OTHER ISSUANCES.

None.



Under Secretary of Commerce
for Oceans and Atmosphere

Office of Primary Interest:
Office of Oceanic and Atmospheric Research
Cooperative Institutes Program Office

Appendix B. Cooperative Institutes

NESDIS:

Cooperative Institute for Climate Studies (CICS), University of Maryland, est. 1983

Cooperative Institute for Meteorological Satellite Studies (CIMSS), University of Wisconsin, est. 1980

Cooperative Institute for Oceanographic Satellite Studies (CIOSS), Oregon State University, est. 2003*

NMFS:

Cooperative Institute for Marine Resources Studies (CIMRS), Oregon State University, est. 1982.

Cooperative Marine Education and Research (CMER) – Rutgers University, est. 1993

CMER– University of Massachusetts (Amherst, MA), est. 2004

CMER – University of Rhode Island, est. 1989

CMER – Virginia Institute of Marine Science & Hampton University, est. 1999

NWS

Cooperative Institute at Pennsylvania State University (CIPSU), Pennsylvania State University, est. 1996

Cooperative Institute for Applied Meteorological Studies (CIAMS), Texas A&M, est. 1988

Cooperative Institute for Regional Prediction (CIRP), University of Utah, est. 1996

Cooperative Institute for Tropical Meteorology (CITM), Florida State University, est. 1992

OAR

Cooperative Institute for Atmospheric Sciences and Terrestrial Applications (CIASTA), Desert Research Institute, est. 1995.

Cooperative Institute for Arctic Research (CIFAR), University of Alaska, est. 1994

Cooperative Institute for Climate and Ocean Research (CICOR), Woods Hole Oceanographic Institution, est. 1998

Cooperative Institute for Climate Applications Research (CICAR), Columbia University, est. 2003*

Cooperative Institute for Climate Science (CICS), Princeton University, est. 1967 and 2003.

Cooperative Institute for Limnology and Ecosystem Research (CILER), University of Michigan, est. 1989

Cooperative Institute for Marine and Atmospheric Studies (CIMAS), University of Miami, est. 1977

Cooperative Institute for Mesoscale Meteorological Studies (CIMMS), University of Oklahoma, est. 1978

Cooperative Institute for Research in the Atmosphere (CIRA), Colorado State University, est. 1980

Cooperative Institute for Research in Environmental Sciences (CIRES), University of Colorado, est. 1967

Joint Institute for Marine and Atmospheric Research (JIMAR), University of Hawaii, est. 1977

Joint Institute for Marine Observations (JIMO), Scripps Institution of Oceanography, est. 1997

Joint Institute for the Study of the Atmosphere and Ocean (JISAO), University of Washington, est. 1977

*Awarded competitively prior to adoption of NOAA CI policy.

Appendix C. CI Handbook Outline

1. Introduction

- a. History
- b. NOAA Policy
- c. Roles and Responsibilities
- d. Mission and Vision Statement
- e. Cooperative Institute (CI) Handbook description and amendment procedure

2. Establishing New CIs

- a. General process (diagram and timeline)
- b. Roles and responsibilities
 1. Responsible NOAA Line Office (LO)
 2. Research Council (RC)
 3. Goals, Programs, LO, CI Committee
- c. Preparing and submitting CI Proposal to RC, NOAA Executive Council (NEC)/NOAA Executive Panel (NEP) and NOAA Administrator (Proposal outline in handbook Appendix A)
- d. Valid options for cost sharing
- e. Writing Federal Funding Opportunity (FFO) and publish with Federal Register notice (FRN, example in handbook Appendix B)
- f. Managing the competition and making the award
 1. Assembling the review panel
 2. Interacting with applicants and review panel comments
 3. Using Grants Online (GOL) and Grants.gov
 4. Working with NOAA Grants Management Division (GMD)
 5. Administrator's Designation of CI for 118 Stat. 71
- g. Criteria for Recognizing Congressionally Directed Awards
- h. Memorandum of Agreement (MOA) (sample in appendix C)
- i. Working with the new CI (provide introduction package to CI)
 1. Determine mutually agreed-upon performance measures.
 2. Incorporate performance measures and MOA into award.

3. Maintaining CIs

- a. General process
- b. Roles and responsibilities
- c. Research planning and collaboration across NOAA
- d. Submitting project proposals/workplans
- e. Transferring funding from other LOs
- f. Working with GMD
- g. Grants Online
- h. Annual meeting
- i. Annual performance reports

4. Early Termination of a CI

- a. Description of process

- b. Roles and responsibilities
- c. Conditions for termination
- d. Notification
- e. Remediation/Improvement Plan
- f. Final decision

5. Renewal

- a. Description of process (include diagram and timeline)
- b. Roles and responsibilities
- c. Conditions for renewal
- d. Review process (guidelines in handbook Appendix D) associated with award renewals
- e. Renewal application
- f. GOL
- g. Working with GMD
- h. Final renewal

6. CI Sunset Procedures (Outside early termination)

- a. Description of process
- b. Roles and responsibilities
- c. CI's eligibility for a new CI

Appendices:

- A. GT/LO Proposal Outline
- B. FRN and FFO Templates
- C. MOU Template
- D. Review Guidelines for CI Renewal
- E. Definitions

Richard D. Rosen, Ph.D.
NOAA Research Council, Chair
Concur Richard D. Rosen
Date: September 27, 2005

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NOAA Grants Management Division, Chief
Concur [Signature]
Date: SPW 27, 2005