



UNITED STATES DEPARTMENT OF COMMERCE
National Oceanic and Atmospheric Administration
Silver Spring, MD 20910

OFFICE OF OCEANIC AND ATMOSPHERIC RESEARCH

MEMORANDUM FOR: National Oceanic and Atmospheric Administration
Organizations Funding Science through Cooperative Institutes

FROM: Shannon Louie, Director
Cooperative Institute Administration Office

SUBJECT: NOAA CI Annual Operating Guidance for FY22

DATE: May 25, 2022

This memo serves as operating guidance to organizations funding science through National Oceanic and Atmospheric Administration’s (NOAA) Cooperative Institutes (CI). All Line Office (LO) units funding CI science must follow this guidance. Please read this guidance document in its entirety.

For further information about a particular CI, contact the Technical Program Manager (TPM) or Federal Program Officer (FPO) listed below.

CI	Technical Program Manager	Federal Program Officer
CICOES	Michelle McClure	Ben Carlson
CIGLR	Deborah Lee	Rita Williams
CIMAR	Michael Seki	Derek Orner
CIMAS	John Cortinas	Ruth Almonte
CIMEAS	Kristen Koch	Derek Orner
CIMERS	Michelle McClure	Ben Carlson
CIMES	Venkatachalam “Ram” Ramaswamy	Steve Mayle
CIMSS	Mitchell Goldberg	Erika Rosier
CINAR	David Legler	Diane Brown
CIRA	Jennifer Mahoney	Jesse Newhart
CIRES	Gary Matlock	Sandra Byers
CISESS	Mitchell Goldberg	Erika Rosier
CIWRO	Gary Matlock	Linda Crank
NGI	John Cortinas	Ruth Almonte
OECI	Jeremy Weirich	Yvette Jefferson

CIROH	Thomas Graziano	Samuel Contorno
Proposed CI for Earth System Research and Data Science	Robert "Robin" Webb	Holly Ohlhorst

Funding CI Projects in FY22

In order to avoid late actions, CI funding CI awards must adhere to the following dates. Written justifications will be required to consider funding awards that miss the deadlines.

The table below identifies key dates, actions, and required documentation.

<i>Date/ Deadline</i>	<i>Key Action</i>	<i>Notes</i>
No later than 01 July 2022	CI proposals submitted via Grants.gov for FY 2022 funding NOAA funding offices: (1) enter projects into the NOAA Research and Development Database (NRDD), (2) submit signed funding memo, (3) submit National Environmental Policy Act (NEPA) memo, and (4) identify accounting codes for new proposals	CI proposals received are forwarded to the NOAA sponsor identified on the proposal for review, approval, and completion of necessary paperwork Federal Program Officer (FPO) completes processing on all actions and submits to the Grants Management Division (GMD)
No later than 01 July 2022	NOAA funding offices identify accounting codes for partial releases	Partial Funding Document and Partial Release Procurement Request Commitment of Funds (PRCF) are completed and sent to GMD

2 July to 22 July 2022	CI proposals requested by a funding office, but delayed beyond the 1 July deadline	<p>Proposals sent to GMD after July 1 with approval from the Deputy Assistant Administrator (DAA) for Science or CIAO Director</p> <p>Requests for approval must detail the reason for the delay</p> <p>Processed proposals must still be sent to GMD by July 22 deadline</p>
22 July 2022	FY22 NOAA's federal financial assistance award cut-off date	All actions sent to GMD after 22 July deadline require approval from the Line Office managing the CI per its late action memo procedures

Funding New Projects

To ensure a complete package, the NOAA funding office providing funds must submit to the Federal Program Officer:

1. Funding Memo signed by the a NOAA employee with technical expertise and authority to responsible for the project,
2. Valid accounting for the full funding amount released to the CI (whole dollars, no cents),
3. Signed NEPA compliance documents, and
4. Confirmation project entered into the NOAA R&D Database.

Funding Partial Releases

**Does not apply to partial releases from Award File 0*

For a partial release of a multi-year project, the FPO must include the following in the Grants Online workflow comments for the procurement request:

1. Name of project,
2. Amendment number,
3. Current year of multiple/multi-year project funding and the total number of years for the project (e.g., this funding is for year 2 of a 3-year project), and
4. Total amount of project funded thus far, and total project funding (e.g., with this procurement, a total of \$16,500,000 has been funded of a total \$19,000,000)
5. Funding amount broken-down by Task and the total amount of funding, (e.g., \$100,000 total funding, Task 1: \$5,000, Task 2: \$95,000)

** Procurement requests for OAR-managed CIs must be approved in Grants Online by an OAR Budget Officer*

Task I

Task I supports administrative functions *and* education and outreach. Task I is calculated from expected funding of Task II and Task III in FY22.

- For new proposals, labs and programs should ensure the CI includes the appropriate percentage of Task I (see Table 1) in the proposal. Task I should be broken out separately and completely in the budget. There should also be a statement in both the Budget and Project Narratives that generally indicates the use for Task I.
- For partial releases, the NOAA funding office must include Task I in the release on the project amendment. Task I payments should use Object Class 41-40 (Payments to Cooperative Institutes). Include the dollar amount of the Task I payment in the PRCF Workflow comments. (e.g., "This release of funds of \$500,000.00 is for year 3 of a 5-year multi-year award, Project Title, Project Amendment Number, \$450,000; Task I: \$50,000)

Additional Guidance

Award File 0

Bottom Line Up Front: To ensure we consistently meet the policy requirement that all applications for funding for new projects receive a fair, equitable, and objective review, no partial release of funds to the Institutional Award (Award File 0) is allowable for CI awards with a start date in Fiscal Year 2020, 2021, 2022, and later.

Background: It is the policy of NOAA that once a CI has been approved for funding under an institutional award, all applications for funding for new projects receive a fair, equitable, and objective review.

The Department of Commerce Grants and Cooperative Agreements Manual details the review process for applications for future awards once a recipient has been approved for funding under an institutional award. To ensure all applications for financial assistance receive a fair, equitable, and objective review, the requirements below must be followed for future applications for subsequent new awards under a CI institutional award.

1. The following are minimum general requirements that must be met in order for any application to be processed for funding under DOC financial assistance programs:
 - (1) Legislative authority to perform the work with financial assistance,
 - (2) Funding availability,
 - (3) Complete application package, and
 - (4) Proposed work that is consistent with DOC's mission.
2. Applications should undergo an initial screening for conformance with the minimum general requirements **and** any mandatory technical and administrative requirements stated in the program's regulations and NOFO.

Funding Awards with Start Dates in 2017, 2018, and 2019

<u>Award Number</u>	<u>Recipient Name</u>	<u>CI</u>
<u>NA17OAR4320101</u>	The University of Colorado, Boulder	CIRES
<u>NA18OAR4320123</u>	Princeton University	CIMES
<u>NA19OAR4320072</u>	University of Rhode Island	OECI
<u>NA19OAR4320073</u>	Colorado State University	CIRA
<u>NA19OAR4320074</u>	Woods Hole Oceanographic Institute	CINAR

New Projects

Follow **Funding New Projects** above.

Partial Releases

Follow **Funding Partial Releases** above.

Partial Release to Award File 0

On a Partial Release of Funds document, the FPO processing the PRCF must include the following in the Memo box on the Partial Release of Funds document in Grants Online (GOL):

1. Name of CI Principal Investigator (PI for the specific project, not the PI for the CI award),
2. Name of NOAA sponsor/technical point of contact and organization, including Line Office (LO),
3. Project title,
4. Project begin and end dates,
5. Year of funding/total years of the project (ex. Yr 2 of 3 Yyr project),
6. Federal funding amount (with amounts for Task I, Task II, Task III), and
7. Short project description

Funding Awards with Start Dates in 2020, 2021, 2022, and Beyond

<u>Award Number</u>	<u>Recipient Name</u>	<u>CI</u>
NA20OAR4320271	University of Washington	CICOES
NA20OAR4320472	University of Miami	CIMAS
NA21NMF4320043	University of Hawaii	CIMAR
NA21OAR4320190	Mississippi State University	NGI
NA21OAR4320203	Oregon State University	CIMERS
NA21OAR4320204	University of Oklahoma	CIWRO
NA22OAR4320150	University of Michigan	CIGLR
NA22NWS4320003	Proposed CI to Support Water Resources	TBD
NA22OAR4320TBD	Proposed Cooperative Institute for Earth System Research and Data Science	TBD

New Projects

Follow **Funding New Projects** above.

Partial Releases

Follow **Funding Partial Releases** above.

Partial Release to Award File 0

Prohibited. Follow **Funding New Projects** above.

Table 1: FY22 Cooperative Institute Task I Percentages

CI	FY22 Task I
CICOES	2.7%
CIGLR	5.2%
CIMAR	Contact NMFS
CIMAS	2.6%
CIMEAS	2.5%
CIMERS	6.1%
CIMES	4.0%
CIMSS	3.7%
CINAR	3.7%
CIRA	3.0%
CIRES	2.2%
CISESS	2.7%
CIWRO	2.7%
NGI	5.2%
OECI	Contact OER