

**Administrative Review of the Cooperative Institute for
Oceanographic Satellite Studies (CIOSS)**

at

Oregon State University
Corvallis, OR

Ingrid Guch
Director, Cooperative Research Program
NOAA National Environmental Satellite Data and Information Service

October 19, 2006

Introduction

On October 19, 2006 an Administrative Review of the Cooperative Institute for Oceanographic Satellite Studies (CIOSS) was conducted by a four-person review panel augmented by an advisor with historic knowledge of the Cooperative Institutes.

Administrative Review Panel:

Ingrid Guch, Administrative Review Chair
Director, Cooperative Research Program, Office of Research and Applications,
NOAA/NESDIS

Patty Mayo
Grants Specialist, Office of Research and Applications
NOAA/NESDIS

Mary McInnis-Efaw, Cooperative Institute representative to the Administrative Review
Cooperative Institute for Research in the Atmosphere

Mike Nelson, Grants Management Division representative to the Administrative Review
Grants Management Division
NOAA

Panel Advisor:

Marilyn Moll
NESDIS Cooperative Institute Program Manager (ret.)

This Administrative Review occurred approximately three and a half years after the creation of CIOSS and was the first Administrative Review of CIOSS.

Panel members gathered information primarily from two sources:

1. The on-site component of the review included a series of presentations from NOAA, CIOSS and Oregon State University personnel. Appendix 2 lists the agenda and speakers for the on-site review.
2. Written input from CIOSS in the form of answers to a standard 11 administrative questions that are asked of all Cooperative Institutes prior to their reviews. These questions, their answers by CIOSS personnel, and the Administrative Review Panel's comments and recommendations pertinent to each question are included below (on pages 4-16). Other material from CIOSS personnel provided supplemental information including the review briefing book which can be found on the Internet at:
<http://cioss.coas.oregonstate.edu/CIOSS/review.html>

Overall Administrative Review Panel Observations

- The panel appreciates and was impressed with the participation in the Administrative Review by personnel from Oregon State University (OSU), The College of Oceanic and Atmospheric Sciences (COAS) at Oregon State University, and CIOSS.
- The CIOSS Director is effectively involved at all levels of the Institute operations.
- The level of communication among CIOSS, OSU and NESDIS is excellent.
- The Banner System is a very thorough system to track financial activity. OSU and CIOSS use it for close-tracking of proposals and awards.
- The panel is impressed with the COAS proposal guide and feels it could serve as a “best practices” model for new and existing Cooperative Institutes. If routinely updated, it could provide an effective means to communicate policy changes at NOAA to the Principal Investigators.
- The panel appreciates the thoroughness of the answers to the Administrative Review questions by CIOSS.
- The level of support that OSU/COAS provides significantly contributes to the successful administration at CIOSS.
- Smooth and effective coordination between OSU, COAS and CIOSS administrative personnel is responsible for the highly effective administrative operations.

Overall Administrative Review Panel Recommendations

- Given that the CIOSS vision is to create a center for excellence for research involving satellite remote sensing of the ocean and satellite remote sensing of the air-sea interface, proposals to NOAA from OSU in these areas should be submitted through CIOSS. This is inherent in the concept of a center for excellence and paves the way for this vision to be achieved.
- A National Environmental Policy Act (NEPA) checklist should be included in the COAS Proposal Orientation Guide.
- NOAA should continue its efforts to address CIOSS concerns regarding proposal processing.
- CIOSS should ensure that the Memorandum of Agreement is reviewed by the CIOSS Executive Board in Cooperative Agreement year 4 and document the results.
- The panel strongly recommends renewal of the CIOSS Cooperative Agreement for an additional 5 years.

Administrative Questions and Answers

{Editors note: The CIOSS response to the 11 standard administrative review questions is shown below in black. The response, findings and recommendations of the Administrative Review panel are italicized and shown in orange. (CIOSS responses have generally been inserted verbatim; the only exceptions have been when the CIOSS response cited another document in which case either the pertinent text from that document was inserted or the reference to the other document was deleted.)}

1) Proposal procedures: How does the Institute select proposals to request funding from NOAA? What procedures are in place to request proposals by Research Theme or Task? Can you provide samples of procedures demonstrating your review/approval process? For example, do you use a website to disseminate information internally, for announcements of opportunity, etc.?

CIOSS response:

The internal review process for science proposals: Although details of this process have evolved over the first four years of CIOSS, the basic strategy has remained the same. For the annual omnibus proposal (core funding for Administration, Core Research and Outreach), CIOSS has solicited short proposals from CIOSS Fellows each year, sometimes using a format involving a presentation by proposing PIs to the Council of Fellows and sometimes using only a written format. In the future, a combination of written and presentation formats will be used. The local Council of Fellows serves as the first review panel, using their own priorities and those expressed by NOAA/NESDIS/STAR Program Managers as guidance. The top proposals are then sent to the NESDIS/STAR Program Managers for the Cooperative Research Program (Ingrid Guch) and the Satellite Oceanography and Climate Division (Kent Hughes, acting program manager). There, the proposals are evaluated by the Program Managers and their Branch Chiefs. After the NESDIS evaluation is communicated to the CIOSS Council of Fellows, a final annual omnibus proposal is prepared and submitted through the Grants.gov electronic system. After further interactions between CIOSS and the Program Managers, the revised proposal is sent to the Grants Management Division.

The logical use of the internal review process that has been developed over the past 3 years is to have those proposing for the next year give presentations summarizing their progress, accompanied by written proposals. This procedure has been severely hampered by the fact that funding for a given year does not arrive from NOAA until six months after the start date, while NOAA asks for proposals six months before the next year's start date. Thus, it is impossible to ask projects for "progress" on projects for which funding has only just arrived. Our strategy for the next year will still be to ask for presentations from those proposing new or ongoing projects, ignoring the history of funding. The presentations will summarize the proposals and allow the Council members to ask questions and discuss the proposals with the PIs, somewhat like the ONR (Office of Naval Research) site review format.

Projects other than those proposed for core funding will also present their proposals during the internal review process, to allow the Council to evaluate the overall program. The details of these

projects are usually determined by the PIs and those within NOAA who are funding the projects. Reviews of these projects range from formal reviews by NSF-style panels to individual negotiations. Review by the CIOSS Council assures that these projects fit within the CIOSS Themes and allows the Council to recommend collaborations with core projects. This involves solicitation of proposals for “core” support, an internal review by the local members of the Council of Fellows, and a second review by the NOAA/NESDIS/STAR Program Managers and research scientists. Below we provide examples of the selection of proposals for the Annual Omnibus Proposal and the procedure for proposals that arise outside of our annual “core” funding.

(1a) Proposal Procedures: Our procedure for selecting proposals for the Year 3 Annual Omnibus Proposal was as follows.

- i) A meeting was held of all Fellows at OSU, in which the Director summarized progress during year 2 and outlined the priorities for NESDIS and CIOSS for the coming year.
- ii) Short (2-page) “pre-proposals” and budgets were solicited.
- iii) The local members of the Council of Fellows reviewed the proposals and ranked them. Those above the “cut-off” were asked to write more complete proposals with full budgets.
- iv) Those proposals were sent to the Program Manager for evaluation. He used the Branch Chiefs of his program as a review board and they evaluated the proposals again, communicating the results back to the CI Director.
- v) The Director communicated to the PIs and asked for revisions, where needed.
- vi) The final Omnibus Proposal was submitted to NOAA using the “Grants.gov” procedure and evaluated by the NOAA Grants Management Division.

(1b) Proposal Procedures: A separate procedure was used in forming the “COAST” (Coastal Ocean Applications and Science Team) proposal.

- i) Discussions between NESDIS managers and CIOSS Fellows identified the need for research and other coordinated activities that would help define and prepare for the use of a new “Coastal Waters” (CW) sensor on the next generation of geostationary satellite (GOES-R, 2012).
- ii) Based on the mutual interests of CIOSS and NESDIS in this research, a proposal was written to the NESDIS GOES-R Risk Reduction (GOES-R3) program for funds to hold initial workshops. This proposal was reviewed by our Program Managers.
- iii) Scientists from a number of U.S. institutions (academic and Federal) participated in a series of workshops and devised a “science plan” for GOES-R3 research that would prepare for a Hyperspectral Environmental Suite – Coastal Waters (HES-CW) sensor.
- iv) Individual proposals from the participating scientists were combined into one multi-institutional proposal, which was submitted to the NESDIS GOES-R3 program.
- v) The proposed research was funded for the first two years. The first field program was carried out in September 2006 and the second is planned for late-summer 2007. The data collected in the field programs will be used to develop and validate algorithms for the new sensor, prior to its launch. In this way, data from the new sensor will provide the maximum benefit for societal needs and science, without a long period of delay after launch.

Other funding opportunities are applied for as they arise, outside of the yearly omnibus proposal. The College of Oceanic and Atmospheric Sciences (COAS) Publishing Office has signed up for the Grants.gov e-mail alert program that provides automated notices of proposal opportunities from all government agencies. These opportunities are listed in the COAS newsletter each week, Making Waves, as well as the COAS website Funding Opportunities page. In addition, many of

the CIOSS Fellows maintain excellent contact with their NOAA colleagues and thereby receive useful advance notice of upcoming opportunities.

Reviewer response:

Findings:

The panel found that the procedures for selecting proposals were quite thorough and well-considered.

Recommendations:

One area to be mindful of, however, is the level of interaction between NOAA and Cooperative Institute (CI) employees. The CI should avoid being overly directed into particular areas of research by NOAA employees- be they CIOSS Fellows or other NOAA Program Managers- and/or based exclusively on NOAA needs. Rather, CIOSS should continue to select proposals which uphold the spirit of the cooperative agreement; i.e., research that is collaborative and benefits both the CI and NOAA.

2) Does the Institute compete for other proposals or receive support for its research themes from NOAA Federal Register Notices or other non-NOAA federal sources? If so, please describe.

CIOSS response: Yes. Most CIOSS Fellows are faculty within COAS or other academic units. COAS is a soft-money Academic Unit and faculty are expected to raise research funds to pay their salaries, along with salaries of technicians, students, etc. Other costs associated with research must also be covered by proposals, mostly to federal agencies. Some have been submitted through CIOSS and have been awarded as amendments to the original CIOSS award. Others are submitted independently through COAS, with a letter of support from CIOSS, where appropriate. For instance, a successful proposal was submitted to the NOAA/OAR/OGP (Office of Global Programs) call for Oceans and Human Health by CIOSS Fellows Peter Strutton and Michelle Wood. OGP awarded this as an independent award (not an amendment to the CIOSS award). In contrast, the proposal to hold the COAST workshops (described above) was made through CIOSS and awarded as a CIOSS amendment.

Reviewer response:

Recommendations:

The panel encourages CIOSS to invite more proposal submissions from throughout COAS and OSU to NOAA in areas that fit CIOSS research themes. Furthermore, non-NOAA proposals which are compatible with CIOSS research themes should be encouraged to route through the CI as well. In this way, CIOSS will not only diversify its research portfolio, but will build upon its growing reputation and fulfill its stated purpose as a center of excellence in satellite remote-sensing research.

3) How does the Institute/University ensure compliance with OMB circulars, Department of Commerce regulations, NOAA grant conditions and university internal grant policies?

CIOSS response: The OSU Office of Sponsored Programs and Research Compliance (OSPRC), the Office of Post Award Administration (OPAA), and the COAS Accounting Office partner in monitoring project budget and expenditures to ensure compliance with OMB Circulars, agency regulations, grant conditions, and OSU policies and procedures.

CIOSS ensures compliance with internal grant policies on three levels by having the CIOSS Administrative Specialist, the COAS Accounting Office and OSPRC check the CI proposal's agreement with OSU policies. OSU policies follow all applicable OMB circulars. COAS checks budget items (including salary), start and end dates, and travel included in each proposal, as well as internal proposal routing forms and routes the proposal through OSPRC. OSPRC then reviews a proposal for compliance with federal, sponsor, and university policies before it is submitted to the funding agency.

OPAA reviews expenditures through a post audit function. A review is done to compare expenditures to budget, compliance with applicable regulations, as well as for unallowables. Applicable OSU Policies and Procedures are listed below:

Grant, Contract, and Gift Accounting Manual

<http://oregonstate.edu/dept/budgets/GCGManual/GCGTOC.htm>

Fiscal Operations Manual

<http://oregonstate.edu/dept/budgets/FISManual/FISTOC.htm>

Procurement, Contracting & Construction Contracting

<http://oregonstate.edu/dept/budgets/PCCManual/PCCTOC.htm>

Property

<http://oregonstate.edu/dept/budgets/PROManual/PROTOC.htm>

Personnel

<http://oregonstate.edu/dept/budgets/PAYManual/PAYTOC.htm>

<http://oregonstate.edu/admin/hr/policies.html> <http://oregonstate.edu/dept/affact/>

Travel

<http://oregonstate.edu/dept/budgets/TRAManual/TRATOC.htm>

Internal Controls and Costing Principles

<http://oregonstate.edu/fa/businessaffairs/postawards/>

Disclosure Statement (DS-2)

<http://oregonstate.edu/fa/businessaffairs/costanalysis/csbindex.pdf>

Independent Audit Reports, Financial Statements, Internal Controls

<http://www.ous.edu/cont-div/accounting&reporting/>

Financial audits as well as the OMB Circular A-133 compliance audit are performed annually by an independent auditor. Internal controls are also tested during the compliance audit. Financial aid and grants and contracts are audited bi-annually.

OSU has not had any material audit findings in the last 10 years. We have been found to be in compliance with OMB Circular A-133. We have also had several Office of Inspector General reviews of specific awards and costs have all been found to be allowable, allocable, and reasonable under the terms of the grant and pursuant to OMB Circular A-21. OSU recently re-negotiated its Facilities and Administration agreement. The Disclosure Statement (DS-2) was revised and approved. OSU also has an approved property control system by the Office of Naval Research.

Payroll Activity Reports (PAR) are generated by OPAA and sent to COAS quarterly. PAR forms are signed by the PI or responsible person to certify effort. The forms are returned to OPAA for retention.

CIOSS administrative staff are in contact with NOAA/NESDIS/STAR admin to ensure DOC regulations and NOAA grant conditions are regularly adhered to. The staff attends NOAA grant workshops to ensure currency with NOAA/DOC policies and procedures.

Training is also provided to campus staff at various times during the year. Examples of topics that have been discussed in the past year are Cost Sharing, Effort Reporting, allowable expenditures, subcontract monitoring, cash management, and a review of OSU policies and procedures.

Reviewer response:

Findings:

CIOSS benefits from the experience of a well-functioning and knowledgeable research entity at OSU. The College (COAS), and Office of Sponsored Programs (OSPRC and OPAA) at OSU are well-versed in the compliance, accounting and related issues inherent to managing federal funds. Staff also made mention of numerous training opportunities, including the annual Grants Management training offered by DoC.

4) What are your formal and informal mechanisms for communications between CI and University/Institutions administrative/finance offices? Who are the NOAA contacts (admin & technical)? How are they working? Is there redundancy, overlap, or gaps?

The CIOSS office maintains frequent communications with Carol Wallace, CIOSS' fiscal manager, and other members of the COAS Accounting Office that take care of all matters related to CIOSS. Formal communications between them include monthly budget sheets and quarterly projections, as well as informal impromptu meetings, phone and e-mail communications. Formal communications from OPAA and OSPRC are disseminated to PIs and others through e-mail, as needed.

There is limited communication directly between the university and NOAA.

Informal communications occur between the Director (Ted Strub) and Program Managers (Ingrid Guch and Kent Hughes) on a regular basis by email and phone calls. The Deputy Director (Michael Freilich) is in frequent contact with the NESDIS Senior Scientist (Stan Wilson). There are other communications between CIOSS and NOAA scientists, within the context of existing or potential collaborations, such as the COAST activities. Likewise, the Administrative Specialist (Amy Vandehey) maintained frequent contact with the NOAA/NESDIS CI specialist (Marilyn Moll), and more recently with Ingrid Guch and the NOAA/NEDIS Program Specialist (Patty Mayo). Ms. Mayo has begun to share a spreadsheet via e-mail that updates the CIOSS proposal activity as it goes through her hands and then on through the NOAA Grants Management Division. This procedure allows for close tracking of proposals and finding potential sticking points.

NESDIS has held annual CI Directors' and Administrators' meetings to provide more formal channels of communication. The Director and Program Manager have also established a set of working groups, with a mix of OSU and NESDIS scientists in each.

The NESDIS CI Directors and Administrators group each have periodic conference calls as needed. Overlap in terms of communication between CIOSS and contacts at NOAA is seen as positive. OPAA has contact with CIOSS personnel, as needed. OPAA has had some contact with NOAA regarding problems with award documents. The problems have been resolved.

Reviewer response:

Findings:

CIOSS thoroughly explained the formal and informal mechanisms for communications between the CI and University/Institutions administrative/finance offices. CIOSS in turn works closely with NOAA personnel and are able to identify problems early and resolve quickly. The level of communication among CIOSS, OSU and NESDIS is excellent.

Recommendation:

Based on the findings of the administrative review team, recommend all parties continue to work together closely to keep lines of communication open.

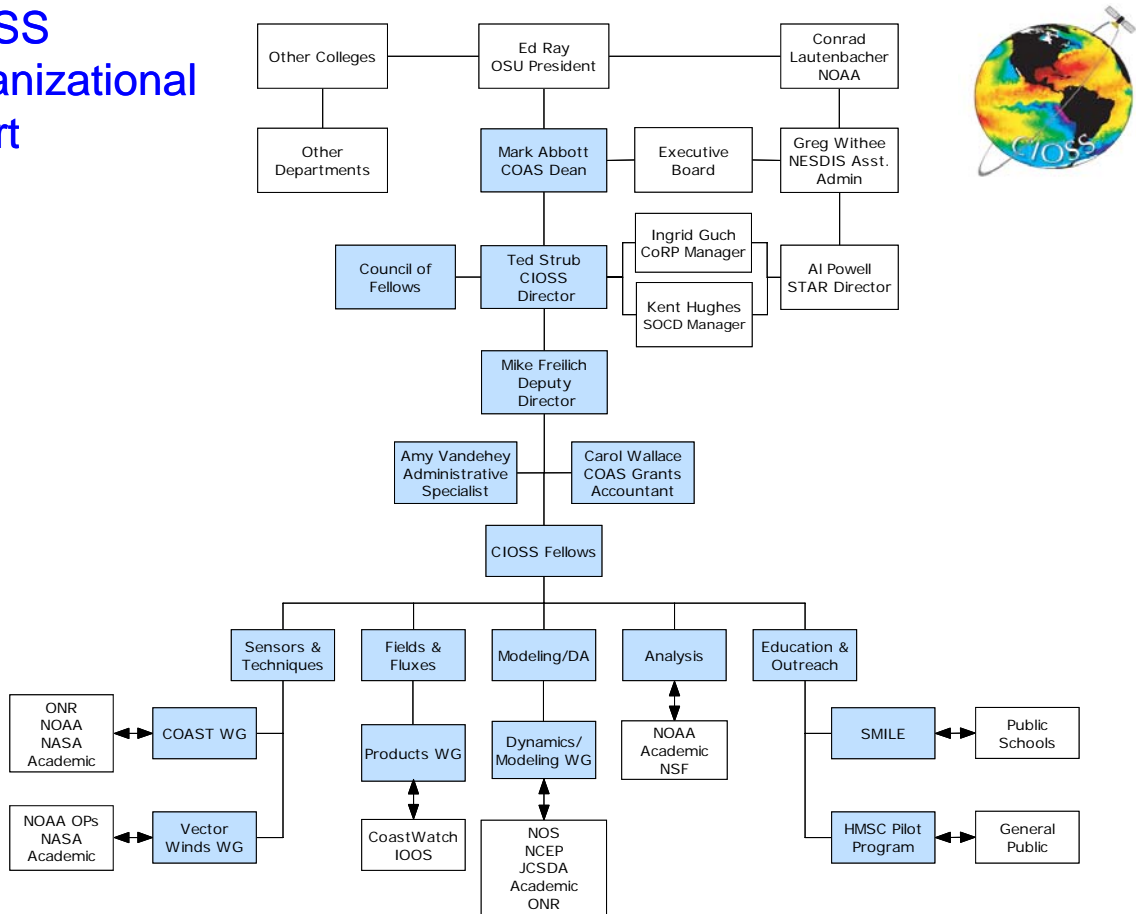
5) What is the organizational structure of Institute employees? How do you ensure compliance with University/Institution human resources policies in such matters as: recruitment, promotions, rewards, training, salary scales, disciplinary actions, resignations, etc.?

Since it is housed within COAS at OSU, CIOSS must comply with all University HR and Academic Affairs policies. A COAS administrator, Barbara Ketchum, Personnel Manager, oversees policies involving classified and unclassified staff. Hiring scales are set by the collective bargaining agreement between the SEIU Local 503 and OSU for classified staff. The Dean of COAS, in conjunction with HR and Academic Affairs, determines salaries for unclassified staff at the professorial levels. Principal investigators, with the Dean's approval, determine salaries for their employees. Ms. Ketchum serves as the liaison between the supervisor and HR to ensure that appropriate University procedures are followed for recruitments, promotions, merit or equity rewards, training programs, resignations, and disciplinary actions.

Disciplinary actions are the responsibility of the supervisor and depend on the rank and classification of the employee.

People with most or all of their funding through CIOSS include Amy Vandehey, Guang Guo, Martin Saraceno, BJ Choi, Hai-Ying Jiao, and Curt Davis. Carol Wallace and Barb Ketchum have their salaries funded partially through the Facilities and Administration costs associated with each grant. This cuts down on the administrative costs to NOAA.

CIOSS Organizational Chart



Reviewer response:

Findings:

All CI employees are subject to OSU human resource policies.

Recommendations:

None. The process that is currently in effect seems to be very efficient and is beneficial to the employees.

6a) Who supervises CI employees working in NOAA facilities? How is this implemented on site and reported (e.g., leave and performance evaluations)? How are on-site CI and Federal employees distinguished from one another?

CIOSS has no academic staff working in Federal labs. There are no on-site Federal employees.

Reviewer response:

Recommendations:

None.

6b) What is the level of NOAA support for CI employees and how are they supervised?

The following tables provide information on all research and administrative personnel associated with CIOSS, as of June, 2006. All of these people are formally employed by the State of Oregon/Oregon State University, and are supervised and evaluated according to State and University rules and procedures. While the COAS Dean thus has ultimate appointment and management responsibility, supervisory authority and substantive inputs regarding performance are delegated as follows:

(1) CIOSS Administrative Specialist:

Receives 1 FTE of salary from NOAA/CIOSS funding.

Supervised directly by, and primary annual evaluation input delegated from the COAS Dean to, the CIOSS Director.

Evaluation based solely on performance of CIOSS tasks.

(2) CIOSS Post-Doctoral Assistants:

Receive 50-100% FTE of salary from NOAA/CIOSS funding.

Perform 50-100% of their research on CIOSS projects (commensurate with their NOAA/CIOSS FTE support)

Supervised directly and primary annual evaluation input delegated from the COAS Dean to the specific faculty mentor of each Post-Doc.

Evaluation based on performance of all research tasks, including but not limited to performance/contributions on CIOSS projects, commensurate with NOAA/CIOSS FTE support.

(3) Faculty Research Assistants and Research Associates:

Receive fractional FTE of salary from NOAA/CIOSS funding.

Support some level of research for CIOSS projects

(commensurate with their NOAA/CIOSS FTE support)

Supervised directly and primary annual evaluation input delegated from the COAS Dean to the specific faculty PI of each Research Assistant/Associate.

Evaluation based on performance of all assigned tasks, including but not limited to performance/contributions on CIOSS projects commensurate with NOAA/CIOSS FTE support.

(4) Tenure-track and Research Faculty:

Receive fractional FTE of salary from NOAA/CIOSS funding
(typically less than 25% FTE).

Conduct/lead research for CIOSS projects

(commensurate with their NOAA/CIOSS FTE support)

Supervised and primary annual evaluation by
the COAS Dean, who may request input from the CIOSS Director regarding
faculty contributions to CIOSS research projects.

Evaluation based on all research, teaching, and service activities, including but not
limited to performance/contributions on CIOSS projects, commensurate with
NOAA/CIOSS FTE support.

Personnel - >50% NOAA Funding				
Category	Number	B.S.	M.S.	Ph.D.
Research Scientist	0			
Visiting Scientist	0			
Postdoctoral Fellow	6	0	0	6
Research Support Staff	0			
Administrative	1	1	0	0
Total	7	1	0	6

Personnel - <50% NOAA Funding				
Category	Number	B.S.	M.S.	Ph.D.
Research Scientist	23	0	1	22
Visiting Scientist	2	0	0	2
Postdoctoral Fellow	0			
Research Support Staff	10	1	8	1
Administrative	2	0	0	2
Total (<50% Support)	35	1	8	26
Postdocs and Students supported on Subcontracts	0			
Undergraduate Students	0			
Graduate Students	5		1	4
Located at NOAA Facility (include name of facility)	0			
Obtained NOAA Employment within the last year	0			

Reviewer response:

Findings:

CIOSS has sufficiently identified all CI employees and no further information is needed.

Recommendations:

None.

7) Reports and requests to NOAA -- how is NOAA informed when the University/Institute formally sends in the financial reports and semi-annual/annual technical reports?

The OSU Office of Post Award Administration (OPAA) sends in the financial reports. For the annual technical report, the CIOSS Director and Administrative Specialist assemble all the individual reports into one document and submit it to the OPAA, who then submits it through Grants Online. The CIOSS Director and Administrative Specialist also send informal periodic reports of recent activities. In addition, the annual technical report and the periodic reports can be seen on the CIOSS web-site (<http://cioss.coas.oregonstate.edu/CIOSS/archive.html>).

Donna Stoneberg in OPAA sends a semi-annual financial summary report (on SF272) to Haja Bah at NOAA. She also mails the original to the NOAA National Capital Admin Support Group, Grants Management Division. Donna then sends a short e-mail to Amy Vandehey that she has sent the report, detailing the report period and the disbursements through the grant.

Reviewer response:

Findings:

Progress reports via the annual technical report are of excellent quality. In addition the periodic reports are very useful to the FPO. It is nice that they are archived at CIOSS as well as at NOAA.

As to the financial reports, all financial reports can now be submitted as PDF documents by attaching them and sending to the NOAA GMD financial report e-mail address:

Federal.financialreport@noaa.gov.

In addition, any financial reports can be mailed to the Division:

*NOAA Grants Management Division
1325 East West Highway - OFA62
Silver Spring, MD 20910*

Or Faxed to: 301-713-0947

Reports will be logged in and processed. The Grants Online system was designed to include the Federal Financial Report, a newly designed report collapsing the Standard Form 269, Financial Status Report, and SF 272, Federal Cash Transactions Report, into one. However, unforeseen delays at the Office of Management and Budget (totally unrelated to NOAA) have necessitated Grants Online personnel to re-think their position regarding financial reports. If the SF-272 and SF-269 are added into Grants Online, efficiencies of completion and submission will be attained. If implemented, such additions to the Grants Online system should be in place no later than 9/30/2007.

8) What is the state of the financial health of the Institute? (Provide a budget summary and identify imbalances or needed adjustments.) How do you track budgets, expenditures, and activities for projects? Are there clear lines of communication among the Institute, the University, and NOAA regarding these topics?

The financial health of the Institute is very good. Each project is identified with a unique index. All financial transactions are recorded and reported by that unique index. The financial information contained in each unique index can then be rolled up to an overall institute index. Monthly administrative reports are communicated to the Administrative Specialist and Director. Quarterly reports are distributed to all projects and include a summary report and expense and payroll detail reports. Projections and other analysis reports can be requested at any time. The grants accountant in COAS prepares all reports and analysis from Banner and Data Warehouse information (OSU Financial System). Projections are prepared with excel spreadsheets with information exported from Banner and/ or Data Warehouse (see Appendix 1).

The monthly and quarterly reports contain budget and actual comparisons along with any future commitments incurred by the project such as equipment or supply purchases, salary commitments and obligated subcontract payments. These reports are reviewed by the grants accountant in COAS and then passed to the Director and Administrative Specialist and individual project PIs. The accountant in the Office of Post Award also scrutinizes transactions on a monthly basis and problems are resolved among the accountant, the grants accountant in COAS and the administrative specialist in CIOSS. There is constant interchange between the accountant in the Office of Post Award Administration and the grants accountant in COAS. Whenever a problem occurs that is not covered by our expanded authority, NOAA is consulted.

Problems within a project in the Institute are identified early and the grants accountant in COAS works with the project PI to provide guidance for resolution. In turn, the grants accountant will consult the accountant in the Office of Post Award Administration and the Administrative Specialist and Director of CIOSS if further resolution is needed. Communications flow freely among OPAA, COAS and CIOSS.

Reviewer response:

Findings:

The communication between OPAA, COAS and CIOSS is excellent and the use of the Banner and Data Warehouse system provides reports that are clear enough even for PI's and other stakeholders in the project who do not have expertise in accounting. The communication with NOAA is very good and there are no concerns.

9) Who is responsible for implementing federal and university policies regarding publications, personal property including equipment, and intellectual property? Do you have any policy samples?

Individual PIs are responsible for minor equipment (under \$5000). Permanent equipment (over \$5,000) belongs to the University and is inventoried and tagged. The Director of CIOSS periodically reminds Fellows of their responsibilities to acknowledge NOAA and the DOC in their publications and to include a waiver stating that opinions expressed in publications are those of the authors and not of NOAA or the DOC. An example of the publications policy on acknowledgments and waivers is available.

Reviewer response:

Findings:

Description of requirements are more than adequate. OSU seems to have a strong inventory control process in place necessitated by limited resources and the possibility of limited future federal funding.

10) Is the Memorandum of Understanding (MOU)/Memorandum of Agreement (MOA) reviewed in parallel with each new five year plan? By whom? Were there issues? What is the procedure to follow if there are?

The MOA will be reviewed after our external Five-Year Review. We are in our first five years and have not been previously reviewed. If there are issues, they will be discussed by the Council of Fellows and program managers. The MOA will be revised, if necessary and submitted to NOAA. A meeting of the Executive Board will also be held after the Five-Year Review, to solicit the Board members' advice on changes in CIOSS Research Themes, structure or procedures.

Reviewer response:

Findings:

This is a standard administrative review question premised on the usual practice of the review taking place close to the end of a five year cooperative agreement. The purpose of this review was to ensure that OSU was on the right track with its current funding policies and procedures and to ascertain if there were any holes or major problems with the administrative of these funds.

Recommendations:

At the review, it was pointed out that any issues could be raised at an Executive Board Meeting for CIOSS, but none were presently contemplated. The Executive Board Meeting would be the venue to address any problems, corrections, or adjustments that needed to be made to the agreement.

11) Are there any issues that need to be brought to the attention of NOAA?

The delay in funding during Year 3 was extreme. Our annual omnibus proposal was submitted on March 28 and sent to GMD in early May (that delay was due to a NOS transfer of funding and no fault of NESDIS). It then took until late September to move through GMD. The 4 ½ to 5 months in going through GMD needs to be addressed by making sure there are enough people available to handle the volume of proposals. This is especially critical where small consulting firms are involved (as in one of our subcontracts), since they do not have the resources to “bridge” such long gaps. Despite updated GMD Performance Measures, this situation continued at almost the exact same time scale this year (Year 4), except the omnibus proposal was submitted almost a month earlier, at the beginning of March. Other CIOSS Amendments have followed the same path. For example, special contact with the head of GMD was necessary to “unstick” the COAST Risk Reduction Activities to Prepare for Using GOES-R/HES for Imaging Coastal Waters Proposal in June, which was originally submitted in January 2006. The funding did not reach OSU until July 2006. The delay nearly caused the cancellation of a major field program.

There seems to be some disorganization within the NOAA office that receives regular reports from OPAA. These reports are frequently misplaced by the NOAA recipients, and OPAA is then asked to resend the reports. An improved Grants Online system needs to address this problem.

Reviewer response:

Findings:

As to the issue of providing funds more timely by the Grants Management Division (GMD), that issue is currently being addressed by a movement of personnel within GMD. The Grants Management Specialist who seems to have caused many of these delays has now left NOAA as has the supervisory Grants Officer. Neither position has been filled. In addition, GMD is down one (of two) contractors that assisted with the workload. To date, for FY 2007, the Division Director is filling in for the Grants Officer, and current specialists are filling in for the departed GMS and contractor (the contractor worked part-time on NESDIS actions). Based on actual FY 2006 workload and estimated FY 2007 workload, we are moving work within GMD. However, we do anticipate approximately the same workload this year as last – and, as a Division, we are down four positions (from 25 to 21), so cannot guarantee marked timeliness improvement. However, with more current tracking improvements to Grants Online, the Division Director can now better and more timely track grant activity within the Division, particularly for NESDIS, and delays such as have been experienced should be minimized or eliminated.

As to the financial reports, all financial reports can now be submitted as PDF documents by attaching them and sending to the NOAA GMD financial report e-mail address: Federal.financialreport@noaa.gov.

In addition, any financial reports can be mailed to the Division:

*NOAA Grants Management Division
1325 East West Highway - OFA62
Silver Spring, MD 20910*

Or Faxed to: 301-713-0947

Reports will be logged in and processed. There is no backlog of financial reports.

The Grants Online system was designed to include the Federal Financial Report, a newly designed report collapsing the Standard Form 269, Financial Status Report, and SF 272, Federal Cash Transactions Report, into one. However, unforeseen delays at the Office of Management and Budget (totally unrelated to NOAA) have necessitated Grants Online personnel to re-think their position regarding financial reports. If the SF-272 and SF-269 are added into Grants Online, efficiencies of completion and submission will be attained. If implemented, such additions to the Grants Online system should be in place no later than 9/30/2007.

Appendix 1

Sample CIOSS reports, ledger sheets and forms

CIOSS has provided samples of ten types of reports/forms/ledgers that COAS or OSU uses to accomplish administrative tasks. CIOSS has also provided the following accompanying explanation for the 10 documents:

1. Report from Banner system is sent monthly along with detailed expense and payroll distribution reports to Director and Assistant Director. Summary of budget, period expenses, inception to date expenses, commitments and balances.
2. Report is sent on request. Summary report from inception to date.
3. Quarterly summary report sent to all PI's along with expense and payroll detail. Color coded for ending date.
4. Quarterly expense detail report sent with the summary report.
5. Inception to date report is sent on request. Includes draw down amounts of revenue budget.
6. Expense crosstab report is quick look at expenses and account codes by fiscal year. There is also one for salary expenses, but cannot be shown. Used mainly by Fiscal Manager.
7. Grant and Contract Balance report. Used by Fiscal Manager as quick look at balances to spot potential problems. Run two or more times a month.
8. Cost Share Report. Used by Fiscal Manager to track required cost share. Run at least once a quarter.
9. Subcontract ledger sheet is kept in file and updated when new amendments or invoices are paid. Used by Fiscal Manager to track subcontract activity. Available to PI's at any time.
10. SF272 form sent by OPAA that gives the semi-annual financial report.

These ten forms/reports follow:

Grant: NA03NES4400001
 Project Period: 01-APR-2003 - 31-MAR-2007
 NOAA Coop Inst Ocn Satellite Sensng
 PI: Paul T. Strub
 OSU Fund ID: NA108Q OAS NOAA 307 Freilich WFO Forecasts
 Organization: 261130 OAS - Oceanic Satellite Studies
 OSU Grant ID: NA1080

Description	Budget	Report Period Expense	Cumulative Expense	Commitment	Uncommitted Balance
Travel-Domestic	0.00	0.00	543.60	0.00	-543.60
Subcontract to \$25,000	25,000.00	0.00	25,000.00	0.00	0.00
Subcontract over \$25,000-No Mod IC	224,624.00	0.00	97,797.82	1,826.18	125,000.00
F & A Cost/Admn Fees	10,376.00	0.00	10,600.59	0.00	-224.59
Net Total	260,000.00	0.00	133,942.01	1,826.18	124,231.81

10-OCT-06 12:02 PM

Oregon State University
Grant Ledger Summary Report - 2 - New
Report Period: INCEPTION TO 30-SEP-2006

Page- 1
FRR0090

Grant: NA03NES400001
Project Period: 01-APR-2003 - 31-MAR-2007 PI: Paul T. Strub OSU Grant ID: NA1080

NOAA Coop Inst Ocn Satellite Sensng
OSU Fund ID: NA1080 OAS NOAA 307 Freilich WFO Forecasts
Organization: 261130 OAS - Oceanic Satellite Studies

Description	Budget	Report Period Expense	Cumulative Expense	Commitment	Uncommitted Balance
Travel-Domestic	0.00	543.60	543.60	0.00	-543.60
Subcontract to \$25,000	25,000.00	25,000.00	25,000.00	0.00	0.00
Subcontract over \$25,000-No Mod IC	224,624.00	97,797.82	97,797.82	1,826.18	125,000.00
F & A Cost/Admn Fees	10,376.00	10,600.59	10,600.59	0.00	-224.59
Net Total	260,000.00	133,942.01	133,942.01	1,826.18	124,231.81

COAS Monthly Grant Budget Summary

09-Oct-06

PI	Index	Project Title	End Date or Nominal End Date	F&A (Indirect) Rate	Budget Category	Current Budget	Prior Month Expense	Inception- to-Date Expense	Current Encumbrances	Budget Balance
Strub, Paul T	NA1083	OAS - NOAA Strub Core - Year 3	31-Mar-07	41.5	Unclassified Salaries	40,313	(667.63)	19,474.92		20,838
					Classified Salaries	16,838	3,433.20	14,974.22	15,449	(13,586)
					Classified Pay			42.51		(43)
					Other Payroll Expenses (OPE)	26,566	1,620.26	16,076.18	9,410	1,080
					Services & Supplies Expense	52,760	1,964.31	20,437.62		32,322
					Indirect Charges	43,292	2,635.32	28,598.13		14,694
					Index Totals:	179,769	8,985.46	99,603.58	24,859	55,306

DIRECT Cost Available to Spend

39,086

Principal Investigators Please Note!

"DIRECT Cost Available to Spend" is intended to be a close approximation. Myriad factors influence precise calculations--primarily equipment, subcontracts, and deficit balances--not all of which are within the capability of reporting tools available.

COAS Grant Expense Detail - Services & Supplies, Equipment, Participant Support

Report Period(s) 01, 02, 03

09-Oct-06

PI	Index	Index Title	Account	Account Title	Transaction Date	Document Number	Transaction Description	Expense (Credit)
Strub, Paul T	NA1083	OAS - NOAA Strub Core - Year 3	20101	Office & Administrative Supplies	15-Sep-06	VX115183	346975021001 Office Depot	79.06
Account subtotal:								
	20106	Books Publication & Other Ref. Mat.			27-Jul-06	I1549253	Strub, Paul Theodore.	79.06
Account subtotal:								
	20202	Software			8-Aug-06	Z0009507	ACADEMIC SUPER STORE L	119.95
Account subtotal:								
	24503	Data Processing Service			31-Aug-06	VE300002	ResrchComputChrgs-August 2006	225.00
	24503	Data Processing Service			31-Aug-06	VE300002	ResrchComputChrgs-August 2006	300.00
	24503	Data Processing Service			31-Aug-06	VE300001	ResrchComputChrgs-July 2006	225.00
	24503	Data Processing Service			31-Aug-06	VE300001	ResrchComputChrgs-July 2006	300.00
	24503	Data Processing Service			30-Sep-06	VE300003	ResrchComputChrgs-Sept. 2006	225.00
	24503	Data Processing Service			30-Sep-06	VE300003	ResrchComputChrgs-Sept. 2006	300.00
Account subtotal:								
	39515	Out-St Empl Program Travel			26-Jul-06	J0365523	CorrectAirfareVA/7/20/06AmyVandehey	(310.20)
	39515	Out-St Empl Program Travel			11-Aug-06	VX114363	Strub/Paul T Teels	326.60
	39515	Out-St Empl Program Travel			11-Aug-06	VX114363	Strub/Paul T Teels	24.00
	39515	Out-St Empl Program Travel			30-Aug-06	I1564831	Strub, Paul Theodore.	443.76
	39515	Out-St Empl Program Travel			18-Sep-06	VX115250	131499S Strub/Paul T Teels	407.20
Account subtotal:								
	39615	Foreign Empl Program Travel			28-Jul-06	VX113787	SARACENO/MARTIN Teels	1,130.00
Account subtotal:								
Report Period(s) Total								3,878.62

Inception to Date Report for Fund: NA1083

10/9/2006

Category Title	Acct	Acct Title	Income Budget	Expense Budget	Inception to Date Revenue	Inception to Date Expenses	Encumbrances	Available Balance
Income	03110	Federal Govt GC	179,769.00		93,753.00			86,016.00
		Category subtotal:	179,769.00	0.00	93,753.00	0.00	0.00	86,016.00
Salaries - Wages	10101	Staff-Unclassified Salaries		40,313.00		19,474.92		40,313.00
	10102	Staff-Unclassified Salaries-Faculty				14,974.22	15,449.40	-19,474.92
	10301	Staff-Classified Salaries		16,838.00		42.51		-13,585.62
	10421	Overtime-Classified						-42.51
		Category subtotal:	0.00	57,151.00	0.00	34,491.65	15,449.40	7,209.95
OPE	10901	Other Payroll Expenses		26,566.00		7,304.57		26,566.00
	10911	OPE Unclassified				8,771.61	9,409.67	-7,304.57
	10913	OPE Classified						-18,181.28
		Category subtotal:	0.00	26,566.00	0.00	16,076.18	9,409.67	1,080.15
Other Expenses	20001	Supplies Expense		3,000.00		184.74		3,000.00
	20101	Office & Administrative Supplies				46.85		-184.74
	20105	Data Processing Supplies				209.62		-46.85
	20106	Books Publication & Other Ref. Mat.				144.95		-209.62
	20202	Software				89.56		-144.95
	20203	Printers (Noncapitalized)				507.86		-89.56
	20204	Other IT Related Peripherals		250.00				-507.86
	22011	Telecom Usage Charges		250.00				250.00
	22503	Mailing Service - Incl Postage						250.00
	22505	Express Mail				90.86		-90.86
	24003	Software Lease Costs				678.80		-678.80
	24503	Data Processing Service		3,600.00		4,200.00		-600.00
	24602	Duplicating & Copying Expense				58.00		-58.00
	24606	Printing & Publishing		2,000.00				2,000.00
	24999	Miscellaneous Fees & Services				918.00		-918.00
	28601	Conference Registration Fees				610.66		-610.66
	28612	Hosting Groups & Guests				90.60		-90.60
	28631	Non OUS Particip Supp-Other		32,160.00		1,338.86		30,821.14
	28635	Non OUS Particip Supp-Travel Paymnt				755.48		-755.48
	39415	In-St Empl Program Travel		10,000.00		407.00		-407.00
	39500	Out-of-State Travel						10,000.00
	39515	Out-St Empl Program Travel				8,611.19		-8,611.19
	39600	Foreign Travel		1,500.00				1,500.00
	39615	Foreign Empl Program Travel				1,494.59		-1,494.59

Inception to Date Report for Fund: NA1083

10/9/2006

Category Title	Acct	Acct Title	Income Budget	Expense Budget	Inception to Date Revenue	Inception to Date Expenses	Encumbrances	Available Balance
Other Expenses	70005	F & A Cost (formerly Indirect)		43,292.00		28,598.13		14,693.87
		Category subtotal:	0.00	96,052.00	0.00	49,035.75	0.00	47,016.25
		Grand Total:	\$179,769.00	\$179,769.00	\$93,753.00	\$99,603.58	\$24,859.07	\$55,306.35 Available Exp

**Monthly Expenses for: NA1083
Current Fiscal Year**

Category	Acct	Acct Title	D C	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	March	April	May	June	YTD Total
Income	03110	Federal Govt GC	C	4,607	565	9,071										14,243
		<u>Subtotal</u>		4,607	565	9,071	0	0	0	0	0	0	0	0	0	\$14,243
Salaries - Wage	10102	Staff-Unclassified Salaries	D	668	-668											0
	10301	Staff-Classified Salaries	D		3,433	1,717										5,150
		<u>Subtotal</u>		668	2,766	1,717	0	0	0	0	0	0	0	0	0	\$5,150
OPE	10911	OPE Unclassified	D	307	-307											0
	10913	OPE Classified	D		1,927	963										2,891
		<u>Subtotal</u>		307	1,620	963	0	0	0	0	0	0	0	0	0	\$2,891
Other Expenses	20101	Office & Administrative Su	D			79										79
	20106	Books Publication & Other	D	83												83
	20202	Software	D		120											120
	24503	Data Processing Service	D		1,050	525										1,575
	39515	Out-St Empl Program Trav	D	-310	794	407										891
	39615	Foreign Empl Program Tra	D	1,130												1,130
	70005	F & A Cost (formerly Indire	D	779	2,635	1,532										4,946
		<u>Subtotal</u>		1,682	4,600	2,543	0	0	0	0	0	0	0	0	0	\$8,825
		<u>(Income - Expenses)</u>		1,950	-8,420	3,848	0	0	0	0	0	0	0	0	0	-\$2,622

COAS Grant & Contract Balances as of 10/9/2006

Index	PI	Project Title	Project End Date	Budget	Inception-to-Date Expense	Encumbrances	Available Balance
NA1082	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	202,269	75,670.08	58,660.01	67,938.91
NA1083	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	179,769	99,603.58	24,859.07	55,306.35
NA1084	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07		13,550.11		(13,550.11)
NA1086	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	88,551	93,016.33	50,950.75	(55,416.08)
NA1087	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	25,000	11,299.48		13,700.52
NA1088	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	87,936	68,805.46	29,466.77	(10,335.85)
NA1089	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	224,057	26,645.51	50,352.25	147,058.80
NA108B	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	398,162	377,725.58		20,436.42
NA108C	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	131,002	97,370.05	25,208.44	8,423.51
NA108D	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	222,598	222,583.15		14.85
NA108E	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	149,386	149,386.00		0.00
NA108F	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	112,489	110,810.68		1,678.32
NA108G	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	589,476	397,868.06	50,363.99	141,243.95
NA108H	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	1,395,739	543,431.39	439,409.71	412,897.90
NA108J	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	151,441	136,531.98		14,909.25
NA108K	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	258,911	52,966.08	38,617.34	167,327.58
NA108L	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	185,072	113,155.85	38,864.19	33,051.96
NA108M	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	135,581	37,053.28		98,527.28
NA108N	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	40,490	58,013.03		(17,523.03)
NA108P	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	172,605	61,245.53	22,157.82	89,201.27
NA108Q	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	260,000	133,172.82	1,826.18	125,001.00
NA108R	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	274,999	105,340.22	49,545.89	120,112.89
NA108W	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	38,963	27,325.16	16,498.45	(4,860.61)
NA108X	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	70,265	69,499.72	15,252.03	(14,486.75)
NA108Y	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	44,275	103,826.34	51,816.14	(111,367.48)
NB108A	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	176,618	42,357.28	3,459.08	130,801.29
NB108B	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	80,000	14,883.68	30,610.98	34,505.34
NB108D	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	98,993			98,993.00
NB108E	Strub, Paul T	NOAA Coop Inst Ocn Satellite Sensng	31-Mar-07	49,959			49,959.00

Cost Share Summary Report as of 10/9/2006

For Org begins with 261130

Index	Index Title	Fund	Budget *	Inception to Date Expenses	Commitment	Balance	Start Date	End Date
261130 OAS - Oceanic Satellite Studies								
NA108T	OAS - CS NOAA Strub NA108B/OAS070	005A40	104,346.00	129,479.03	34,458.05	(59,591.08)	4/1/2003	3/31/2007
NA108U	OAS - CS Abbott NA108H/OAS070	005B86	12,011.00	10,085.56		1,925.44	10/1/2004	3/31/2007
Org subtotal:			116,357.00	139,564.59	34,458.05	(57,665.64)		
Grand Total:			116,357.00	139,564.59	34,458.05	(57,665.64)		

* Budgets do not include GRA Fee Remission, F & A, or Outside/In Kind items.

MONTHLY STATEMENT OF SUBCONTRACT

10/10/2006

NORTHWEST RESEARCH ASSOCIATES, INC.

NA108Q-A

9/30/2006

Contract Amount

\$124,624

Amend #	Contract Adjustment Amount	FIS Document Number	Vendor Invoice Number	Invoice Date	Invoice Amount	Cumulative Invoice Total	Balance Encumbered Amount
Start	124,624.00						124,624.00
		I1449620	OSUB001	10/5/2005	27,482.48	27,482.48	97,141.52
		I1457464	OSUB002	11/4/2005	8,283.37	35,765.85	88,858.15
		I1493759	OSUB003	12/5/2005	7,111.78	42,877.63	81,746.37
		I1475909	OSUB004	1/17/2006	7,540.18	50,417.81	74,206.19
		I1493746	OSUB005	2/7/2006	18,591.30	69,009.11	55,614.89
		I1536454	OSUB006	3/6/2006	17,951.49	86,960.60	37,663.40
		I1536457	OSUB007	4/7/2006	17,906.50	104,867.10	19,756.90
		I1519904	OSUB008	5/3/2006	15,663.32	120,530.42	4,093.58
		I1531378	OSUB009	6/6/2006	2,267.40	122,797.82	1,826.18

124,624.00 Total Obligated Amount

122,797.82 Total Invoice Payments

1,826.18 Total Obligated Balance Remaining

NOAA 272 -- SEMIANNUAL REPORT
 OREGON STATE UNIVERSITY
 Period Covered: 10/1/05 to 3/31/06

GRANT NUMBER	INDEX NUMBER	NET DISBURSEMENTS FOR PERIOD	CUMULATIVE DISBURSEMENTS 3/31/06	PREVIOUS DISBURSEMENTS 9/30/05
NA03NES400001	NA1080	779,864.19	2,050,324.85	1,270,460.66
NA03NMF4390451	NA1190	27,369.01	95,789.69	68,420.68
NA03NMF4720474	NA1170	12,441.83	119,510.83	107,069.00
NA03NOS430014	NA1090	0.00	64,917.00	64,917.00
NA03OAR4170082	NA1160	73,573.90	307,711.26	234,137.36
NA04NMF4550109	NA1320	29,160.27	58,816.16	29,655.89
NA04NOS4200129	NA1290	10,982.24	34,819.89	23,827.65
NA04NOS4730181	NA1360	23,840.30	49,946.26	26,105.96
NA04OAR4170013	NA1200	0.00	38,000.00	38,000.00
NA04OAR4600046	NA1240	33,266.67	76,018.42	44,751.75
NA04OAR4600202	NA1380	76,577.83	152,362.27	75,784.44
NA05NMF4391212	NA1530	22,281.93	22,281.93	0.00
NA05NMF4631048	NA1500	0.00	0.00	0.00
NA05OAR4171028	NA1390	11,342.27	40,000.00	28,657.73
NA05OAR4310006	NA1410	37,658.89	65,117.21	27,458.32
NA05OAR4311164	NA1520	18,883.31	18,883.31	0.00
NA06OAR4170010	NA1540	1,082.44	1,082.44	0.00
NA16GP2911	NA1010	26,128.32	314,999.00	288,870.68
NA16RG1039	NA0940	1,574,188.57	8,838,991.57	7,264,803.00
NA16RG2016	NA0890	905.49	225,077.00	224,171.51
NA17FE1167	NA0820	47,717.43	410,475.62	362,758.19
NA17FE2705	NA1020	748,165.01	5,177,418.81	4,429,253.80
NA17RJ1362	NA0810	609,849.56	6,687,723.97	6,077,874.41
		4,165,289.46	24,852,267.49	20,686,978.03

Approved by Office of Management and Budget, No. 80-R0182

1. Federal sponsoring agency and element to which this report is submitted

FEDERAL CASH TRANSACTIONS REPORT
 (See instructions on the back. If report is for more than one grant or assistance agreement, attach completed Standard Form 272-A.)

NOAA

2. RECIPIENT ORGANIZATION
 Name : **Oregon State University
 Research Accounting**
 Address : **P.O. Box 1086
 Corvallis, OR 97339-1086**

4. Federal grant or other identification number
VARIOUS

5. Recipient's account number or identifying number
VARIOUS

6. Letter of credit number
13-14-0008

7. Last payment voucher number
Give total number for this period

8. Payment vouchers credited to your account
 (whether or not deposited)

3. FEDERAL EMPLOYER IDENTIFICATION NO. **48-1278540 (formerly 1-93-6001786-A4)**

10. PERIOD COVERED BY THIS REPORT
 FROM **10/1/05** TO **3/31/06**

a. Cash on hand beginning of reporting period \$ **(414,640.52)**

b. Letter of credit withdrawals **4,489,295.00**

c. Treasury check payments **0.00**

d. Total receipts (Sum of lines b and c) **4,489,295.00**

e. Total cash available (Sum of lines a and d) **4,074,654.48**

f. Gross disbursements **4,165,289.46**

g. Federal share of program income **0.00**

h. Net disbursements (Line f minus line g) **4,165,289.46**

i. Adjustments of prior periods

j. Cash on hand end of period \$ **(90,634.98)**

11. STATUS OF FEDERAL CASH
 FEDERAL CASH

(See specific instructions on the back)

13. OTHER INFORMATION

12. THE AMOUNT SHOWN ON LINE 11, ABOVE, REPRESENTS CASH REQUIREMENTS FOR THE ENSUING 0 Days

a. Interest income \$ **0.00**

b. Advances to subgrantees or subcontractors \$ **0.00**

14. REMARKS (Attach additional sheets of plain paper, if more space is required)

15. CERTIFICATION

I certify to the best of my knowledge and belief that this report is true in all respects and that all disbursements have been made for the purpose and conditions of the grant or agreement.

AUTHORIZED CERTIFYING OFFICIAL
**Mark Bierly
 Asst Mgr, Office of Post Award Admin**

SIGNATURE

DATE REPORT SUBMITTED
10/12/06

TYPED OR PRINTED NAME AND TITLE
**Mark Bierly
 Asst Mgr, Office of Post Award Admin**

TELEPHONE
(541) 737-2198

THIS SPACE FOR AGENCY USE

Appendix 2

Agenda for On-site Review

Thursday, October 19, 2006

8:30am – Welcome and Introduction (Ted Strub)

8:45am – Overview of Admin Review Format (Ingrid Guch)

9:00am – Overview of how proposals are chosen (Ted Strub)

9:15am – Proposal process through CIOSS, COAS Accounting (Amy Vandehey, Carol Wallace)

9:30am – Proposal process through RO and submission through Grants.gov (Peggy Lowry, Pat Hawk)

9:45am – Break

10:15am – Presentations by NESDIS, STAR, GMD – Administrative Structure and Functions with STAR and GMD (Ingrid Guch, Patty Mayo, Michael Nelson)

11:15am – Proposal Process after the proposal goes through NOAA and comes back to us (Kim Calvary, Carol Wallace)

11:30am – Discuss site review questions and responses

12:30am – Lunch (unhosted)

1:45pm – Committee Executive Session

2:20pm – Finish Admin Review and answer questions

3:30pm – NOAA Review Team meets to draft report

5pm – Initial feedback from Review Team (verbal) to Director and select administrators