



MEMORANDUM FOR: NOAA Office of Oceanic and Atmospheric Research Cooperative Institutes

FROM: Candice Jongsma, Director
Cooperative Institute Program Office

SUBJECT: Performance Progress Reports

DATE: February 27, 2018

This memorandum provides guidance for performance progress report submissions by Cooperative Institutes **managed by the NOAA Office of Oceanic and Atmospheric Research (OAR)**. This guidance only pertains to the main institutional CI awards, not Sandy Supplemental awards.

Main Institutional Awards

Applies to awards beginning on or after January 1, 2006 (this includes previous CIs who successfully competed for a new OAR CI award after January 1, 2006). The initial performance progress report covers the first nine-month period and is due 30 days after the initial period. This report is a stand-alone report and should not include other CI projects/awards. Subsequent performance progress reports cover a twelve-month period and are due 30 days after the end of period.

Example: If the main institutional award begins on October 1, 2013, then the first performance progress report will cover the period from October 1, 2013 – June 30, 2014 and will be due on July 30, 2014. This is a stand-alone report and should only cover projects under the initial performance period. All subsequent performance progress reports cover the period July 1, 2014 – June 30, 2015 and are due thirty (30) days after the end of the reporting period. If the report is not finalized within thirty (30) days, an additional sixty (60) days may be allotted, provided a list of projects funded under the award, including the amendment number and the NOAA Technical Lead/Sponsor for each project is submitted through Grants Online (GOL) thirty (30) days after the end of the reporting period.

No Cost Extensions (NCE) allows CIs an additional year to complete work under the main institutional award. Under this type of an award, NOAA is not able to fund new projects, but the CI may expend remaining funds on approved amendments to the main institutional award. The annual performance progress reporting period includes progress on all projects and expenditures during the one-year period.

As a requirement of receipt of a Cooperative Institute Agreement, each institution must submit an annual performance progress report. The report must detail progress on all NOAA funded research activities during the preceding award year. The performance progress report is reviewed by the CI Program Office and the NOAA technical sponsoring program. The report and the review becomes part of the official grant file. The final version will also be made available on the NOAA CI Web site, <http://ci.noaa.gov>. Guidelines for preparing performance progress reports are below.

Performance Progress Report (PPR) Guidelines

The annual performance progress reports must be submitted electronically through Grants Online. At their discretion, CIs may choose to send a courtesy copy of the annual report to the OAR CI Program Office.

Federal Program Officers and/or NOAA Sponsors are prohibited from contributing to the annual performance progress report for which they have funded. This is the person who your PI works directly with on the project and oversees the progress of the project on behalf of NOAA. NOAA Sponsors can only be listed as collaborators on the project(s). The annual performance progress report must be written and edited by the University lead PI.

Annual PPRs should contain:

- An introductory section that includes:
 - A general description of the CI and its core activities, including all education and outreach activities;
 - A list of all the award numbers related to this CI;
 - A description of how the CI is managed, including mission and vision statements, and the organizational structure;
 - An executive summary of important research activities and results in 1-3 pages;
 - A distribution of NOAA funding by Institute task and theme (e.g., pie chart with percentages);
 - If the CI-NOAA MOU identified a Council of Fellows and an Executive Board, provide the names of the current Fellows and a list of all meeting dates;
 - A general description of Task I activities, including percentage of funding (e.g., pie chart with percentages) used for administration, post-docs/visiting scientists, student support, education and outreach activities, and other research support.
- Table of contents
- List of all award and amendment numbers relating to projects found in the report.
- Reporting period covered in the report
- For all CI awards that are ending, include a list of projects attached to each ending award.
- For each project being reported on, include the following:
 - Project title
 - Description of the research and the annual performance progress associated with the project
 - Name of the NOAA Sponsor(s) (NOAA Technical Lead) and NOAA sponsoring office
 - Budget Amount
 - Milestones
 - At least one clearly-stated objective
 - Related NOAA Strategic goal(s) as identified in the initial Institutional Award Application
 - For awards prior to January, 2011, the NOAA Strategic Plan goals are: (Goal 1) Protect, Restore, and Manage the Use of Coastal and Ocean Resources Through Ecosystem-based Management; (Goal 2) Understand Climate Variability and Change to Enhance Society's Ability to Plan and Respond; (Goal 3) Serve Society's Needs for Weather and Water Information; (Goal 4) Support the Nation's Commerce with Information for Safe, Efficient, and Environmentally Sound Transportation; or (Goal 5) Mission Support.

For awards issued after January, 2011, the NOAA Strategic Plan goals are: (Goal 1) Health Oceans; (Goal 2) Weather-Ready Nation; (Goal 3) Climate Adaptation and Mitigation; (Goal 4) Resilient Coastal Communities and Economies; (Goal 5) NOAA Enterprise-wide Capabilities: Observing, Modeling, and Engaging for all Goals.

PPR Appendices Guidance

(1) PUBLICATIONS

Publication documentation must be reported for inclusion in the annual report (a), and another in an excel spreadsheet (b) used by NOAA to aggregate performance.

(a) To be included in the annual report

- In a table, present the total count of publications for the reporting period and previous periods categorized by NOAA lead author, Institute (or subgrantee) lead author, and other lead author and whether it was peer-reviewed and non peer-reviewed (including presentations);

Example for showing the total number of publications:

| | 2013 | 2014 | 2015 |
|-------------------|----------------------------------------|----------------------------------------|----------------------------------------|
| CI Lead Author | # Peer Reviewed # Non-Peer Reviewed | # Peer Reviewed # Non-Peer Reviewed | # Peer Reviewed # Non-Peer Reviewed |
| NOAA Lead Author | | | |
| Other Lead Author | | | |

- Below the table provide a list of each publication referenced. Publications should be listed in a standard scientific literature-cited format of the CIs choosing.

(b) To be reported on a separate Excel Spreadsheet

- Include only Peer Reviewed published articles. Breakout each article completed in the active reporting period to show if they are or are not related to Deep Water Horizon (DWH) projects.
- Do not include the spreadsheet in the report. It should be emailed to the CIPO Program Office separately.

Example Excel spreadsheet format:

| CI Name | PI Name / Author Names | Publication Date | Publication Title | Published In (Journal Name, volume and page number) | Type of Publication | Citation No. (Digital Object Identifier) | Research Support Award No. | CI Lead Author | NOAA Lead Author | Other Lead Author |
|---------|------------------------|------------------|-------------------|-----------------------------------------------------|---------------------|------------------------------------------|----------------------------|----------------|------------------|-------------------|
|---------|------------------------|------------------|-------------------|-----------------------------------------------------|---------------------|------------------------------------------|----------------------------|----------------|------------------|-------------------|

| | | | | | | | | | | |
|--------|----------------------------------------------------------------------|------------|-----------------------------------------------------------------------|------------------------------------------------------------------------------------|--------------------|----------|----------------|---|--|--|
| CICS-P | Battaglia, A. S., S. Tanelli, S. Kobayashi, D. S. Zrnica | 11/30/2010 | 2010: Multiple- scattering in radar systems: a review. | J. Quantitative Spectroscopy and Radioactive Transfer, 111, 917-947 | Journal Article | XXXX-XXX | NA17RJ26 12 | X | | |
|--------|----------------------------------------------------------------------|------------|-----------------------------------------------------------------------|------------------------------------------------------------------------------------|--------------------|----------|----------------|---|--|--|

(2) EMPLOYEE SUPPORT DOCUMENTATION

- the total number of employees by job title and terminal degree that receive at least 50% support from NOAA, postdocs and visiting scientists;
- total number of undergraduate and graduate students receiving any level of support;
- number of employees (including postdocs and visiting scientists) that received less than 50% annual salary support;
- for Institutes that award subcontracts, please obtain only information on the number of supported postdocs and students from your subgrantees.
- the number of employees/students that receive 100% of their funding from an OAR laboratory and/or are located within that laboratory;
- the number of employees/students that were hired by NOAA within the last year.

Example for showing the total number of employees:

| Personnel | | | | |
|--------------------------------------------------------------------|------------------|-----------|----------|----------|
| Category | Number | B.S. | M.S. | Ph.D. |
| Research Scientist | 5 | 0 | 2 | 3 |
| Visiting Scientist | 3 | 0 | 0 | 3 |
| Postdoctoral Fellow | 3 | 0 | 0 | 3 |
| Research Support Staff | 20 | 15 | 5 | 0 |
| Administrative | 3 | 3 | 0 | 0 |
| Total (≥ 50% support) | 34 | 18 | 7 | 9 |
| Undergraduate Students | 8 | | | |
| Graduate Students | 6 | 5 | 1 | |
| Employees that receive < 50% NOAA Funding (not including students) | 24 | 10 | 4 | 2 |
| Located at Lab (include name of lab) | 29-AOML, 6-SEFSC | | | |
| Obtained NOAA employment within the last year | 1 | | | |

(3) OTHER AGENCY AWARDS (TRADITIONALLY TASK IV PROJECTS) SHOULD BE LISTED IN TABLE FORMAT

Example showing Other Agency awards

| PI Name | Project Title | Lead NOAA Collaborator | Awarding Agency | Funding Amount |
|----------|-------------------------|------------------------|--------------------------|----------------|
| Y. Kogan | Equatorial Oceanography | Mark Kohen | Office of Naval Research | \$50,000.00 |