



MEMORANDUM FOR: NESDIS Cooperative Institute Directors

FROM: Ingrid Guch, Director  
NESDIS/STAR Cooperative Research Program

SUBJECT: Guidance for NESDIS Cooperative Institute Annual Reports

This memorandum serves as general guidance for preparing a Cooperative Institute (CI) annual report. As a requirement of the Cooperative Institute Cooperative Agreement, each institution must submit an annual report describing all NOAA-funded research activities during the preceding award year. This report is reviewed by the NESDIS/STAR Cooperative Research Program Director and becomes part of the official grant file. In the past, information contained in these reports has been used by the Cooperative Research Program, STAR, NOAA and NESDIS management, DOC Office of General Counsel, and the Office of the Inspector General.

According to the Code of Federal Regulations (15 CFR 24), the minimum requirements (non-relevant items have not been copied here) for a financial assistance annual report are:

- (1) Grantees shall submit annual performance reports unless the awarding agency requires quarterly or semi-annual reports. Annual reports shall be due 90 days after the grant year. If a justified request is submitted by the grantee, the Federal agency may extend the due date for any performance report.
- (2) Performance reports will contain, for each grant, brief information on the following:
  - i. A comparison of the actual accomplishments to the objectives established for the period.
  - ii. The reasons for the slippage if established objectives were not met.
- (3) Grantees will not be required to submit more than the original and two copies of performance reports.
- (4) Grantees will adhere to the standards in this section in prescribing performance reporting requirements for sub grantees.



In addition to the minimum requirements, please consider the following guidelines when preparing your annual report:

- (1) An electronic copy in PDF format should be sent by email to [Ingrid.Guch@noaa.gov](mailto:Ingrid.Guch@noaa.gov) with a cc to the grants specialist, Patty Mayo (her email will be available 1-23-2005) along with an indication of whether or not this is suitable for posting on the Cooperative Research Program website. Hard copies (printed on both sides of each page with some type of binding) are appreciated as well but not necessary.
- (2) Include a table of contents.
- (3) Include an introductory section with:
  - i. a general description of the Institute, research themes and core activities, including education and outreach activities,
  - ii. a description of how the CI is managed, including mission and vision statements, and the organizational structure,
  - iii. an executive summary of important research activities and results in 1-3 pages,
  - iv. a distribution of NOAA funding by Institute task and theme (e.g., pie chart with percentages),
  - v. 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.
- (4) Annual reports should report on performance for all NOAA-funded projects, including those listed on amendment documents (form CD-451). These project titles and a description of the annual performance associated with this project should appear in the annual report, and it is helpful to also have the name and NOAA office of the primary technical contact for the project. As described in 2(i) above, at least one objective should be clearly stated for each project along with an adequate description of the related research results obtained during the report year. For each project, it is helpful to identify the related NOAA goal(s) from the NOAA Strategic Plan:
  - (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;



| Other Lead Author |         |         |         |         |
|-------------------|---------|---------|---------|---------|
|                   | 2001-02 | 2002-03 | 2003-04 | 2004-05 |
| Peer Reviewed     |         |         |         |         |
| Non Peer Reviewed |         |         |         |         |

| 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 ( $\geq$ 50% Support)  | 34                  | 18   | 7    | 9     |
| Undergraduate Students   | 8                   |      |      |       |
| Graduate Students  | 6                   | 6    | 1    |       |
| Employees that receive < 50% NOAA Funding (not including students) | 24                  | 10   | 4    | 2     |
| Located at NOAA facility (include name of facility)                | 29-CMDL, 6-FSL,4-AL |      |      |       |
| Obtained NOAA employment Within the last year                      | 1                   |      |      |       |