

**Cooperative Institute for Mesoscale Meteorological Studies
Administrative Review Questions
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**Prepared by
Tracy Reinke, Peter Lamb, Randy Pepler, Renee McPherson, CIMMS
Susan Sedwick, Jennie Parker, Office of Research Services**

1) How does the Institute select proposals to request funding from NOAA? What procedures are in place to request proposals by theme or task?

All proposals submitted under the cooperative agreement are reviewed by the Director of CIMMS to ensure that they fall under our themes. CIMMS encourages members of other departments who have a connection with CIMMS to submit competitive proposals to NOAA agencies. All budgets are reviewed by the CIMMS Financial Administrator prior to submission to NOAA.

2) How does the JI/University/Institute ensure compliance with OMB circulars, DOC regulations and NOAA grant conditions?

The Office of Research Services (ORS) follows the procedures outlined in the “Internal Control Systems for the Office of Research Services.” A copy of these procedures will be provided at the review.

3) What are your formal and informal mechanisms for communications between JI and University/Institutions administrative/finance offices? Who are the NOAA contacts (admin & technical)?

The CIMMS Financial Administrator is in contact with the ORS Sponsored Programs Coordinator on a daily basis. The Post Award Financial Coordinator prepares monthly reports for CIMMS. If questions arise regarding the finances of the cooperative agreement, the CIMMS Financial Administrator works with the Office of Research Services for resolution.

The NOAA contact for technical and administrative matters is John V. Cortinas, Jr.. The University of Oklahoma administrative contact is Tracy Reinke, Financial Administrator, CIMMS, as listed in Amendment #11 to Cooperative Agreement NA17RJ1227. The University’s Office of Research Services has the authority to enter into contractual agreements. Their contact person is Jennie I. Parker, Sponsored Programs Coordinator. The MASC contact is Daniel Gomez.

4) How do you ensure compliance with university/institution human resources policies in such matters as: hiring, resignations, promotions, salary scales, disciplinary actions, etc.?

The University of Oklahoma is an equal opportunity/affirmative action workplace. The OU Staff Handbook states clearly in section 3.3 and 3.3.1 the policies that the university follows for hiring to conform to these standards. The Staff Handbook can be found at http://www.ou.edu/ohr/handbook/handbook_index.html. The CIMMS termination policy is located at <http://www.cimms.ou.edu/internal/termination.html>. All non-classified employees are required to submit a letter of resignation one month prior to their end date. Classified employees are required to submit a letter of resignation two weeks prior to their end date. All CIMMS employees are eligible for internal promotions. All job openings are listed on the CIMMS webpage as well as email and flyers. The university has a procedure for positive discipline. The steps are outlined in the Staff Handbook and include the following steps: Oral Reminder, Written Reminder, Disciplinary Leave, and Discharge.

5) Who supervises JI employees working in NOAA facilities? How is this implemented on site and reported (e.g., leave and performance evaluations)?

JI employees working in NOAA facilities are supervised by the CIMMS Assistant Director, who is physically located in a NOAA facility. All leave of 40 hours or greater is requested in advance and approved by either the Director or Assistant Director. Performance evaluations are conducted annually as per university regulations by the Assistant Director with input from the employee's collaborators.

6) How is the JI informed when the University/Institution formally sends in the financial reports and annual technical reports?

CIMMS submits the annual technical reports to the Joint Institute Program Manager, John Cortinas. Financial reports are submitted by the Office of Research Services to Daniel Gomez, MASAC.

7) What kind of financial reporting systems are used by the University/Institution for grants management?

CIMMS has an internal system designed to manage and reconcile all award funds using Excel spreadsheets. These give a day-to-day picture of all awards. Research Services maintains the official, auditable records on all sponsored research and is responsible for the submission of financial reports to sponsors. The University's Financial Support Services produces a monthly report that shows all activity on each sponsored project account.

8) How are publications, property and intellectual property records (e.g., equipment, purchases, sub-grants) managed and maintained?

During the annual report preparation, all CIMMS employees and fellows are asked to submit a list of publications produced during the year. These are then entered into a database for collection. Publications are also listed on the CIMMS website. Property that is inventoried is managed by the Office of Procurement Services. An audit is conducted annually on this property to ensure that it is still in use. Intellectual property is handled by the Office of Technology Development (OTD). Invention disclosures are submitted through the CIMMS Assistant Director to OTD.

9) Is the Memorandum of Understanding (MOU)/Memorandum of Agreement (MOA) reviewed in parallel with each new five-year plan?

The MOU is not reviewed in parallel with each new five-year plan. Last year this issue was discussed at the JI Administrator meeting at Woods Hole/CICOR, and the JIs were told that guidance regarding the updating or review of the MOU would be forthcoming. CIMMS has not received any additional information on this matter.