

CIESRDS

FIVE-YEAR REVIEW ADMINISTRATIVE BRIEFING BOOK

University of Colorado Boulder // March 2026



CIESRDS

COOPERATIVE INSTITUTE
FOR EARTH SYSTEM RESEARCH
AND DATA SCIENCE

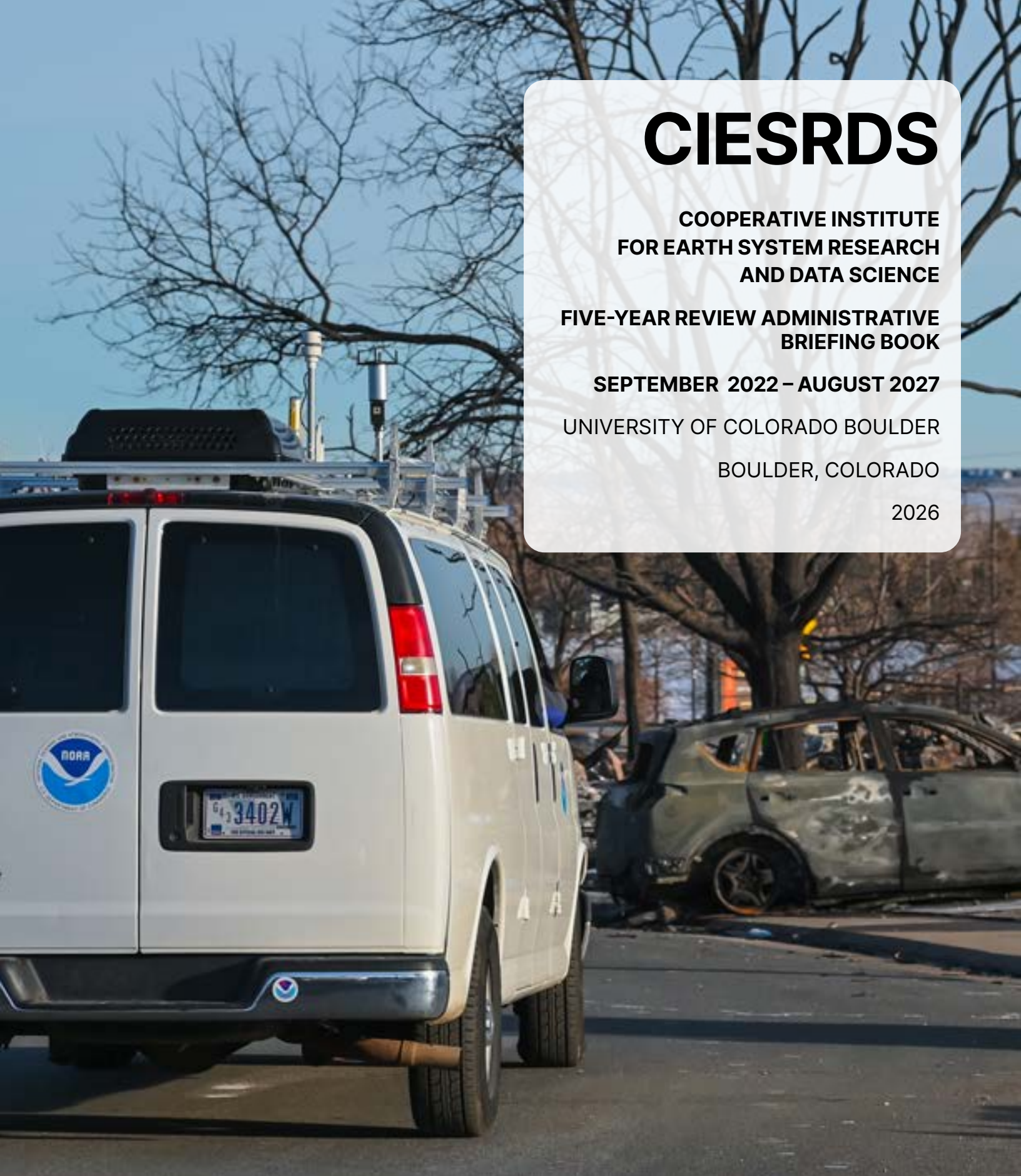
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BRIEFING BOOK

SEPTEMBER 2022 – AUGUST 2027

UNIVERSITY OF COLORADO BOULDER

BOULDER, COLORADO

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CIRES/CIESRDS and NOAA atmospheric chemists drove the NOAA mobile laboratory van around the site of the Colorado's Marshall fire in early January, 2022, to better understand the fire's impact on outdoor air quality. Preliminary results showed fire-caused emissions were no higher than air pollution from the usual urban sources.

Credit: Chelsea Thompson/NOAA

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Executive Summary

The Cooperative Institute for Earth System Research and Data Science (CIESRDS), established in 2022 as part of the CIRES–NOAA partnership that began in 1967, conducts innovative research that advances our understanding of the global, regional, and local environments and the human relationship with those environments, for the benefit of society and advances NOAA’s mission through innovative Earth system research and data science. Working across eight thematic areas, CIESRDS scientists collaborate closely with NOAA researchers to deliver cutting-edge science, operational products, and decision-support tools that strengthen the nation’s environmental intelligence and scientific leadership.

A core strength of CIESRDS is its uniquely robust administrative and operational foundation within CIRES, the largest research institute at CU Boulder and one of the biggest in the country. Unlike other cooperative institutes, CIESRDS benefits from the robust and mature CIRES infrastructure that spans finance, human resources, research support, IT, and communications. This administrative depth enables efficient and compliant operations at scale, allowing CIESRDS to effectively support research in eight NOAA labs and centers while managing a diverse, high-impact scientific portfolio and a workforce of over 900 personnel. This structure provides the stability and responsiveness essential for mission-aligned research. Throughout this document, CIESRDS refers to the cooperative agreement under review, while CIRES refers to the parent research institute at CU Boulder that houses and supports CIESRDS.

Through the current award period of the cooperative agreement, CIESRDS has demonstrated exceptional productivity

and impact. The institute produced 1,551 peer-reviewed publications, delivered 1,780 conference presentations, supported 51 testbeds, and transitioned 103 research products into NOAA operations—tangible results that enhance forecasting, monitoring, climate preparedness, ecosystem stewardship, and space weather prediction. CIESRDS also strengthens NOAA’s workforce pipeline: since 2022, 38 cooperative institute employees have transitioned into NOAA federal positions.

CIESRDS is an international leader in conducting cross-cutting environmental research of the highest quality while bridging fundamental science and service to society. The institute builds leaders, scientists, communicators, and teams dedicated to developing sound and trusted information to address environmental challenges. CIESRDS embraces a positive and inclusive culture, recognizing that the institute thrives when its people do.

The CIESRDS Strategic Plan (Appendix E) guides the institute’s work across four imperatives: conducting high-quality research in service to NOAA, training a diverse future workforce, growing Earth system literacy, and providing robust scientific and administrative infrastructure.

Throughout this document, CIESRDS refers to the cooperative agreement under review, while CIRES refers to the parent research institute at CU Boulder that houses and supports CIESRDS. Together, the institute’s scientific achievements and its uniquely strong administrative support system position CIESRDS to continue delivering high-quality, mission-driven research and national benefits throughout the remainder of the cooperative agreement.



CIESRDS researcher Bianca Adler with the Physical Sciences Laboratory prepares instruments for the Propagation, Evolution, and Rotation in Linear Storms (PERiLS) in Columbia, Louisiana.

Photo: Bianca Adler/ CIESRDS

1. Proposal procedures

a. What is the CI's process for selecting proposals to request funding from NOAA?

b. What procedures are in place to request proposals by theme or task? How are PIs kept informed of the proposal process, and how are success criteria shared within the CI?

Note that the following content answers questions a and b.

Summary

The proposal process at the Cooperative Institute for Earth System Research and Data Science (CIESRDS) and CIRES is structured and comprehensive. At our Cooperative Institute (CI), outside of the full Cooperative Agreement (CA) main 5-year proposal and full 5-year work plans for each NOAA lab and center we work with, there is currently no need for proposals for Task II funding and Task II projects. Shortly after the award, CIESRDS was required to submit 5-year work plans for each of the NOAA labs and centers we work with, which established a ceiling amount for each. Task II funding is then sent to CIESRDS off the workplan as partial funding releases. For Supplementary CA projects and Task III projects, our NOAA Federal Program Officer (FPO) issues new RFA numbers each Federal fiscal year. We respond to these RFAs via the [grants.gov](https://www.grants.gov) federal submission portal using [grants.gov](https://www.grants.gov) workspaces. Also, if specific NOAA Lab leadership agrees, CIESRDS scientists can use the general CIRES proposal submission process for non-cooperative agreement-linked proposals with scopes that support the general NOAA and CU Boulder mission.

Task II

For the main operations of CIESRDS, funding is routed through the CA, based on the work plan proposals, as Task II funding that specifically supports the CIESRDS themes and missions of the NOAA labs/centers we work with. Task II research activities involve direct collaboration with NOAA labs and centers. The NOAA labs/centers that we have established work plans for the current CA are: the Physical Sciences Laboratory (PSL), the Chemical Sciences Laboratory (CSL), the Global Systems Laboratory (GSL), the Global Monitoring Laboratory (GML), the National Centers for Environmental Information (NCEI), the Space Weather Prediction Center (SWPC), the Weather Prediction Center (WPC), and the Office of Education (OEd). Scientists supported on Task II are primarily housed at the David Skaggs Research Center (DSRC) and collaborate closely with NOAA scientists carrying out the research projects as part of the annual research plan.

Outside of the continuous mission-based Task II support, which requires significant collaboration with NOAA scientists,

a CIESRDS or CIRES scientist may explore a potential effort in partnership with NOAA scientists and NOAA officials. The NOAA scientists then consult with their leadership, and if the lab or center director approves, they coordinate with their NOAA program office.

If the program office is favorable regarding funding and the necessary processing, then—considering CIESRDS research themes, the specific NOAA lab's mission, and the level of NOAA collaboration required—the following parties work together to determine whether the project should be funded under Task II or Task III within the CA:

- CIESRDS Director (and/or CIRES Associate Director for Science)
- NOAA Lab Director (of the involved Lab)
- CIESRDS Technical Program Officer (TPO)
- CIESRDS Federal Program Officer (FPO)

If the project is deemed appropriate for Task II, meaning it aligns with CIESRDS themes, fits within the science of the work plans, supports the NOAA lab's mission, and requires significant direct collaboration with NOAA scientists, funding can be routed under the existing work plans that CIESRDS has established with that NOAA Lab or Center, without requiring a new proposal.

Task III

If the funding is identified as a Task III project, thereby being within the CIESRDS research themes and NOAA mission, but requiring minimal collaboration with NOAA scientists, CIRES proposals will be instructed to begin work on a Task III proposal to be submitted to NOAA via [Grants.gov](https://www.grants.gov). A letter of support from the NOAA Lab Director is required for all Task III proposals.

Other

If the funding is found to be outside the CIESRDS research themes and the mission of the cooperative agreement, the funding would not be either a Task II or Task III project. In this scenario, if the CIESRDS/CIRES Director (and/or CIESRDS Associate Director for Science) approves the project to be pursued, the CIRES proposals team would work with the NOAA program office to see if the University of Colorado Boulder should submit a stand-alone proposal unconnected to the CA for the project. For projects outside of the CA, CIRES proposals can support our scientists by submitting proposals for any type of agreement, including grants, cooperative agreements, research contracts, service contracts, and gifts.

When a non-Task II proposal involves a CIESRDS scientist hosted at a federal facility such as the DSRC, we require a letter of support from the relevant NOAA Lab Director (or an individual with authority to allocate space and obligate resources) before proceeding. For the letter, the NOAA lab

confirms that it agrees to allow lab-hosted CIESRDS personnel to submit the proposal through CU Boulder and will provide space and continued infrastructure support for the scientists and proposed activity if the project is awarded. This ensures the lab or center remains aware of and supportive regarding any potential reduction in FTE support for ongoing Task II efforts involving CIESRDS employees they host. Because one purpose of the letter is to identify possible impacts on FTE available for Task II support, any proposal for a Task III project or a CA Supplemental requires a Lab Support Letter.

CA Supplementals

Supplementary CA funds are supplemental appropriations from Congress under the Disaster Relief Act (DRSA), the Bipartisan Infrastructure Law (BIL) (formerly the Infrastructure Investment and Jobs Act), and the Inflation Reduction Act (IRA). These projects and proposals are identified by leadership in the NOAA lab. The NOAA labs are provided with specific funding via appropriations from Congress to support congressional priorities that align with NOAA and the labs' missions via the supplementals. NOAA leadership works with the CIESRDS lead scientists in each lab, with support from the CIESRDS co-PI (CIES Associate Director for Science) and the CIESRDS Scientific and Administrative Manager, to determine how CIESRDS personnel can support that mission. In coordination, they determine appropriate CIESRDS PIs for

the supplementals. CIES proposals personnel work with the identified CIESRDS PI of the supplemental, in communication with the NOAA lab/center administration, to build an appropriate proposal for [grants.gov](https://www.grants.gov) for that supplemental project.

General CIES Proposal Process

To provide exceptional service to CIESRDS scientists, PIs, and NOAA, the CIES proposals team (CIES Proposals) maintains a dedicated team that includes a proposals director, a deputy director, five proposal analysts, and a data information coordinator. For every proposal, CIES proposal analysts work closely with PIs to develop budgets, budget justifications, and all required university and agency documentation. They review all proposal materials for compliance with university, agency, and solicitation guidelines and keep PIs informed throughout the process, ensuring awareness of all requirements and actions.

To maintain quality and accuracy, the CIES Deputy Proposal Director reviews and approves budgets and proposal packets prepared by Proposal Analysts in collaboration with PIs. Additionally, CIES proposal analysts receive specialized training and are commissioned as Authorized Organizational Representatives (AORs) for the University of Colorado Boulder for proposals and pre-award actions. As AORs, they have the authority to obligate the university to the pricing and commitments contained in grant, contract, cooperative agreement, or gift proposals.

2. How does the CI/university/institution ensure compliance with federal laws and regulations, Department of Commerce regulations, NOAA standard, and specific grant conditions?

Our institution ensures compliance with federal laws, Department of Commerce (DOC) regulations, NOAA standards, and specific grant conditions through a robust and integrated framework. This framework includes institutional oversight, formalized policies, and dedicated personnel who support the CIESRDS Cooperative Agreement. These efforts ensure alignment with key regulatory and administrative requirements, including:

- 2 CFR Part 200 (Uniform Guidance)
- Department Of Commerce (DOC) Standard Terms and Conditions
- NOAA-specific requirements
- Specific Award Conditions
- CI Standard Conditions
- CI Handbook

Compliance is embedded throughout the entire grant lifecycle from proposal development and submission, during award management and reporting, and throughout award closeout. We prioritize maintaining transparency, accountability, and integrity in all aspects of sponsored award administration.

CIESRDS is supported by seven dedicated finance managers (FMs) who oversee all financial aspects of the award. They serve as the primary point of contact for researchers across

each lab and center under the cooperative agreement. Their responsibilities include:

- Procurement coordination
- Award actions (e.g., no-cost extensions, budget revisions, PI transfers)
- Interpretation of university and CI policies, as well as special award terms and conditions
- Financial forecasting and project spend planning with PIs and project teams, including salary allocation planning

In addition, the CU Boulder Office of Contracts and Grants (OCG) includes a dedicated grants officer who manages the CIESRDS award. This role encompasses processing incoming notices of award and submitting required award actions, such as foreign air carrier prior-approval requests and no-cost extensions on behalf of CIESRDS.

CIESRDS and CU Boulder follow internal policies outlined by OCG, the Campus Controller's Office (CCO), and the Procurement Service Center (PSC). These policies cover:

- Cost principles
- Cost-sharing guidelines
- Signature authority
- Fiscal procedures

Compliance with federal laws and regulations is further supported through:

- Mandatory trainings for Hazards Materials Transfers, NOAA Cyber Awareness Challenge, NOAA Records Management Fundamentals, Sexual Harassment & Discrimination, Responsible Conduct of Research (RCR)
- Effort reporting via Electronic Personnel Effort Reports (ePERS)

- Annual Disclosure of External Professional Activities (DEPA) and conflicts of interest
- Internal audits

Together, these coordinated efforts ensure that our institution remains in full compliance with all applicable federal, departmental, university, and agency-specific regulations and conditions.

3. How does the CI/university/institution ensure compliance with internal grant policies?

CIESRDS and the University of Colorado Boulder ensure compliance with internal grant policies through a robust framework of institutional policies, training programs, and oversight mechanisms. Key offices include:

- CIERES administrative units: CIESRDS Management, CIERES Communications, CIERES Finance, CIERES Travel, CIERES Human Resources, CIERES Proposals, CIERES IT
- CU Boulder campus Controller's Office (CCO): Oversees financial compliance, effort reporting (ePERS), and fiscal procedures.
- CU Boulder Office of Contracts and Grants (OCG): Manages award negotiation, setup, and post-award compliance.
- CU Boulder Procurement Service Center (PSC): Ensures purchasing and payables align with university policies.
- Boulder Research & Innovation Office (RIO): Provides training and oversight for research integrity, export controls, and conflict of interest.

Additionally, compliance is supported by:

- Mandatory training for PIs and administrators, including:
 - Fiscal Code of Ethics
 - Information Security
 - Discrimination & Misconduct
 - Colorado Open Records Act (role-specific mandatory training)
 - Responsible conduct of researcher (recommended for all research personnel; required for NSF and NIH awards)
 - Research Integrity Overview Training Course – (recommended for all research personnel; required for NSF and NIH awards)
- Mandatory compliance reporting, including:
 - Fiscal Certification & Assessment (annual)
 - Disclosure of External Professional Activities (DEPA) (annual)
 - Conflicts of Interest (annual)
 - Effort reporting via ePERS, managed by CCO (semester basis; Spring, Summer, Fall)
- Internal audits and monitoring by CCO and OCG

- Enterprise systems such as InfoEd and CU-Data, and CIERES-specific tools such as HOPE and ARS for award tracking and financial reconciliation
- Internal knowledge base for policies and guidance

For CIERES administrative staff, compliance begins with comprehensive, individualized training for both university and institute policies and processes. Administrators are equipped to thoroughly review award documents, flag key terms and conditions using internal financial reports, and communicate requirements to principal investigators via email and project kickoff meetings. Ongoing collaboration is emphasized through regular team meetings, where staff share updates on regulations, compliance concerns, and best practices. Administrators also complete CU Boulder training programs, including those offered by OCG and CCO, such as the DRA Cohort program and the Financial Research Onboarding course, ensuring they remain current on institutional and federal requirements.

Initially, when an award is accepted, the Office of Contracts and Grants (OCG) negotiates terms to ensure alignment with CU policies, after which the Campus Controller's Office (CCO) assigns SpeedTypes (i.e., billing codes) and enters budget data. CIERES Finance then verifies the accuracy of the setup, reviews award terms and conditions for any restrictions, and communicates these requirements to principal investigators, ensuring compliance obligations are clear from the outset.

Ongoing day-to-day compliance is maintained through a series of structured activities designed to ensure financial accuracy and adherence to sponsor and university requirements. Monthly financial reconciliation reports are prepared and sent to principal investigators, while effort reporting is managed centrally by CU Boulder and monitored by CIERES Finance to ensure timely certification. PIs complete progress reports (RPPRs) with support from CIERES Finance and OCG's reporting team, and closeout notifications are issued at 30-, 60-, and 90-day intervals by OCG or CCO to alert CIERES Finance of upcoming deadlines. Export control compliance is supported by CU Boulder's Office of Export Controls, which provides training and oversight, and by CIERES' in-house export control team, which maintains internal policies in CIERES Connect to ensure alignment with federal and university standards.

4. What are your formal and informal communication mechanisms between the CI and university/institution administrative/finance offices?

CIRES administrative staff use email, Microsoft Teams chat, Zoom, and phone calls to communicate internally. The CIERES Finance, HR, IT, Proposal, and Communications teams communicate regularly to address questions and complete tasks efficiently.

Communication with NOAA contacts occurs via email, Google Meet, phone, and in person, as well. CIERES administrative staff hold ad hoc meetings with NOAA administrative personnel as questions arise.

CIERES has internal financial reporting applications for managing the CIESRDS award that are shared with our NOAA contacts; these reports include real-time financial data and can be accessed by our NOAA contacts on demand. These reporting applications ensure a shared understanding of project statuses, funding levels, spending trends, and effort allocations.

The CIERES Senior Management Team meets weekly to discuss strategic and operational matters. Additionally, the following meetings occur:

- The CIESRDS Director, CIESRDS Scientific and Administrative Manager, and CIERES Senior Management meet quarterly with the TPM and FPO.
- The CIESRDS Executive Board meets quarterly.
- The CIESRDS Director meets bi-weekly with lab directors.
- The CIERES finance team meets weekly for overall post-award management.
- The CIERES finance team meets monthly to specifically address questions and tasks related to the CIESRDS award.
- The CIERES HR team meets weekly to discuss any HR issues related to CIESRDS employees.
- A CIERES administrative newsletter is sent out monthly

via email and all policy updates are housed on the CIERES administrative news site "CIERES Connect."

CIESRDS administrative unit leads maintain regular communication with their counterparts at CU Boulder to ensure alignment, compliance, and awareness of system changes. CIESRDS leads participate in weekly meetings, workshops, and monthly updates with campus partners including the Campus Controller's Office, the Office of Contracts and Grants, the Procurement Service Center, the Research & Innovation Office, and Strategic Relations and Communications. These touchpoints keep CIESRDS informed of evolving university policies and procedures while strengthening coordination across the institute and campus.

In addition, CU Boulder has two main newsletters that go out to all research faculty, and staff: CU Boulder Today, emailed weekly and housed online: <https://www.colorado.edu/today/>, and the Research and Innovation newsletter, emailed monthly. CIERES hosts monthly town hall meetings for institute staff to share general updates, policy changes, and state of the institute summaries. These meetings generally have 400-500 attendees.

Each NOAA lab or center has a CIERES lead embedded who is responsible for disseminating updates to staff directly.

The CIERES Members' Council acts as an information conduit between CIERES leadership and the institute's staff (associate scientists, research scientists, and administrative associates). The council represents the interests of all CIERES staff with respect to CIERES governance, scientific direction, and the day-to-day workplace environment.

NOAA Administrative & Technical Contacts:

Technical Program Manager: Roger Pulwarty
Federal Program Officer: Holly Ohlhorst

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

Hiring

All CIESRDS hiring follows both the State of Colorado laws and University of Colorado Boulder protocols (see <https://www.colorado.edu/hr/hiring>). All positions are posted on the CU Boulder jobs website, the CIESRDS jobs website, and additional job boards, in accordance with university protocols. Searches are typically led by the CIERES hiring manager, in collaboration with the CIERES lab or team lead for the hiring unit, and CIERES HR. Before posting the role, campus proto-

col requires that CIERES HR confirm with CIERES Finance that position funding has been received by the institute.

An extensive approval process occurs before the job is posted live. All members of the search committee participate in mandatory training on legal hiring practices, and CIERES HR's recruiting team supports the search committee's needs throughout the recruitment and hiring process. In addition, they ensure great candidate care to support the applicant's experience throughout the process.

Resignations

Resignations are managed according to CU Boulder protocols (see <https://www.colorado.edu/hr/leaving-cu>). This involves an email to CIERES HR from the resigning employee to launch the exit process. CIERES HR then sends an "exiting employee" email to notify CIERES administrative teams of the upcoming employee departure, with a copy to the CIERES supervisor. This allows CIERES administration to process all necessary actions regarding the separation. This email also guides the employee and supervisor on local actions to take, including returning any CU or NOAA property. All exiting employees are offered the option of an exit interview. Finally, CIERES HR processes final timesheets and any necessary leave payouts in accordance with CU Boulder guidelines.

Promotions

CIERES created its own robust internal promotion program called the CIERES Career Track program. This annual program is available to all research and administrative positions housed within CIERES, and employees are assigned to one of four career track levels at the time of hire. Progressing to a new career track level requires that certain quantitative and qualitative criteria be met, in addition to the support of one's immediate supervisor. Depending on the level of promotion, applications are reviewed by either a CIERES division director or the CIERES Career Track Committee for recommendation to the CIERES Director. The CIERES Director makes the final promotion determination in all cases. If an employee's promotion

package is denied, the employee is given constructive feedback that can be applied toward future promotion success.

Salary Scales

CIERES follows all CU Boulder and State of Colorado salary guidelines (see <https://www.colorado.edu/hr/compensation>) in establishing salaries for its research and administrative positions. In addition, in October 2024, CIERES HR implemented the institute's first-ever research faculty compensation structure. This structure was the result of a three-year effort to 1) comply with state pay equity laws, 2) establish job families for research positions to align with relevant labor market data over time, and 3) ensure equitable and competitive compensation for all new and existing employees. The creation of this structure also offers greater transparency and consistency in all salary decisions.

Disciplinary Actions

CIESRDS follows CU Boulder performance and disciplinary guidance from verbal warnings to a three-phase progressive discipline process, which includes a letter of expectation, a letter of reprimand, and possible termination. With support from the CIERES supervisor and unit lead, the goal in most cases is to coach the employee toward improvement while allowing reasonable time to improve. However, if improved performance is not possible, then campus protocol allows us to move toward reasonable separation.

6. How are CI employees trained in HR issues based on university policy?

- a. human dimensions/capital;**
- b. student employment tracking upon graduation; and**
- c. CI employee benefits (including retirement planning).**

Note that the following content answers questions a, b, and c.

CU Boulder and CIERES offer comprehensive programming and support (see <https://www.colorado.edu/hr/new-employees>) for all new CI employees. New CIESRDS employees attend a CU Boulder orientation called QuickStart (see <https://www.colorado.edu/hr/new-employees/new-employee-programs>) within their first week of employment. This training orients them to being members of the CU Boulder community by training them on a variety of topics, including payroll, timekeeping, leave, medical and dental benefits, retirement information, mandatory training, perks, etc. Additional orientation sessions are hosted by CIERES HR at the institute level and also for all co-located employees in the David Skaggs Research Center (DSRC).

CU Boulder provides comprehensive retirement planning support for employees at all career stages, from early career planning through preparation for retirement.

- **Retirement Plans** (<https://www.cu.edu/employee-services/benefits-wellness/current-employee/>)

[retirement-plans](#)) - Information on retirement planning and investment options

- **Retirement Ready** (<https://www.cu.edu/employee-services/retirement-ready-0>) - Resources and guidance for employees preparing to retire

CI employees with supervisory responsibilities must also complete training on performance management and the annual merit process, family medical leave, mandatory reporting, and campus resources for mediation and mental health.

CIERES also offers a professional development fund to support ongoing professional development needs. With supervisor support, employees can apply for funds for training that supports their role and professional growth.

CU Boulder offers a suite of trainings (see <https://www.colorado.edu/hr/learning-development>) to all employees in the areas of general professional development, leadership, and organizational development. Additionally, the university offers access to a multitude of free or significantly reduced training via LinkedIn Learning, Coursera, and Percipio.

- **Learning & Development** (<https://www.colorado.edu/hr/learning-development>) - Information on training for learning and growth, including LinkedIn Learning

- **Payroll and Benefits Orientations** (<https://www.cu.edu/employee-services/benefits-wellness/new-employee/payroll-and-benefits-orientations>) - Information on pay, including pay schedules, compensation guidelines
- **Medical Plans** (<https://www.cu.edu/employee-services/benefits-wellness/new-employee/medical-plans>) - Information on benefits, including leave, health insurance, and other benefits

Student employees are onboarded within the university structure outlined by the graduate school and are provided

with opportunities to engage with NOAA and CIRES research staff through research opportunities, field work campaigns, and other opportunities for students in Task II work. Students are given opportunities to attend career planning panels, engage in mentoring, and complete their degree through support from CIRES. CIRES offers postdoctoral opportunities for recent graduates and early career positions. CIRES has a mentorship program to support early-career researchers in navigating their careers by pairing them with a more experienced mentor.

7. What factors are considered when making the determination "CI employee?"

CI employees are employees who are hired by the university to work on CIESRDS research or administrative activities. These employees perform administrative functions in support of the CIESRDS cooperative agreement or complete research in alignment with the scientific mission of CIESRDS, as outlined by the CI NOFO. CIESRDS employees work primarily at the David Skaggs Research Center (DSRC), where they are co-located with NOAA partner labs and line offices

for more efficient collaboration. An additional 12 CIESRDS employees are located at the Weather Prediction Center (WPC) in Maryland. These CIESRDS employees are part of the larger CU Boulder research institute employee group (CIRES) that also includes faculty, researchers, students, and support personnel on the main University of Colorado Boulder campus.

8. Who supervises CI employees working in NOAA facilities?

CI employees working in NOAA facilities are supervised by CIRES employees, and each lab or center is also assigned a CIRES lead as the head supervisor of each group. The CIRES supervisor is responsible for being the first point of contact for employee needs, including assessing performance management, leave approvals, work modality agreements, approving travel, supporting promotion packages, separations, etc. Each CI employee is also assigned a federal science advisor who collaborates with and guides the employee as needed in achieving the scientific goals of the unit.

9. How does the CI maintain cohesive operations across campuses or locations? How are "alternative work scenarios" handled?

Maintaining Cohesive Operations

The vast majority of CIESRDS researchers work at the David Skaggs Research Center in Boulder, co-located with NOAA labs and line offices. The remaining employees are in the university space. CIRES has employees embedded at other NOAA offices to ensure efficient partnerships and collaborations.

Alternative Work Scenarios

CIRES complies with university policy on hybrid and fully remote work schedules, located at <https://www.colorado.edu/hr/work-modalities-schedules>. Additionally, all CIRES employees complete a work modality agreement, indicating an in-person, hybrid, or fully remote work schedule, requiring supervisor approval. These completed agreements are maintained electronically for easy reference and updated yearly as part of each employee's annual performance review or when a change occurs.

10. Reports and requests to NOAA

- a. How is the CI informed when the University/Institution formally sends financial and annual technical reports?**
- b. How is this information transmitted within the CI?**
- c. How are other formal requests to NOAA communicated between the CI, University/ Institution (e.g., large equipment purchases, sub-grants)?**

Note that the following content answers questions a, b, and c.

Financial and Annual Technical Reports

Federal Financial Reports (Appendix D) are submitted by Research Financial Services in the Campus Controller's Office via eRA Commons on behalf of the CI.

Each year, CIESRDS leadership collects information from all Task II and Task III research teams and partners to address the annual Research Performance Progress Report (RPPR) questions required by the CI Administration Office (CIAO) and the eRA Commons system. CIESRDS leadership compiles these responses and uploads them to eRA Commons, where the university's signing official submits the report to NOAA. CIAO then posts completed RPPRs to the CIAO website.

Other Formal Requests to NOAA

When required under the award terms and conditions, all formal requests to NOAA are submitted through eRA Commons by our assigned Grant Officer in the CU Office of Contracts and Grants (OCG). OCG is CU Boulder's Authorized Organizational Representative (AOR) and is the Office of Record for the administration of sponsored projects for the CU Boulder campus.

As the authorized representative, our Grant Officer submits formal requests through eRA Commons at the request of CIERES administrative staff. Our Grant Officer then tracks

the requests and communicates NOAA approval back to our administrative staff when the action is complete in eRA.

For example: Foreign air carrier prior approval requests are submitted by our Grant Officer in eRA Commons, based on detailed information provided to them by the CIERES travel team, when this approval is necessary for an international trip. All airfare itineraries are reviewed as part of an employee's international travel request by the travel team. If it is determined that we need to request foreign air carrier prior approval, we complete an internal Fly America Act exception form that outlines the specific itinerary needed, documents the reason the exception is necessary, and confirms the exception is compliant with the Fly America Act. Once the form is completed, the travel team sends it to our Grant Officer in OCG. Our Grant Officer then formally submits the request in eRA Commons, including the Fly American Act exception form, a summary of the travel request, and a copy of the intended airfare itinerary for the trip. Once NOAA approves the request our Grant Officer forwards the approval documentation to the CIERES travel team and it is attached to the final expense report.

Electronic Communications for Financial Reports

Grant accountants in the Campus Controller's Office (CCO) prepare the required semi-annual, annual, and final federal financial reports using the university's financial system (PeopleSoft Finance). When preparing the required federal financial reports, grant accountants review and compare expenditures with both the awarded budget in eRA Commons and with the draw payments recorded in the ASAP portal. More detailed information on specific items reported by the grant accountant may be captured in narrative format in section 12 of the SF425.

An example of a previous federal financial report submitted in eRA Commons is included in Appendix D.

11. What tracking systems does the CI have in place for publications, property, and intellectual property records?

- a. Publication tracking internal**
- b. Property controls**
- c. OTC policies**

Note that the following content answers questions a, b, and c.

Publication Tracking

To achieve the goal of tracking all CIERES and CIESRDS publications and entering the correct publications into the [NOAA Institutional Repository](#), CIERES utilizes a University of Colorado system called [CU Boulder Elements \(CUBE\)](#). This system receives data from multiple publication data sources and automatically links them to CU Researchers via ORCID. Using

CUBE, researchers can also look up publications by Digital Object Identifier (DOI), title, or author and either link them to the CIERES system or create manual entries that feed into it.

In addition to complying with all applicable public access policies and plans, CIESRDS is committed to ensuring that the data, software, and documentation supporting published research are as open and accessible as possible, following the FAIR principles (Findable, Accessible, Interoperable, and Reusable).

Figure 1 (page 12) is a flow chart of how CIERES publications are tracked, stored, and how CIERES verifies that the correct publications are entered into the NOAA Institutional Repository.

tory. CIERES downloads this data nightly and processes it into our internal databases. This data is then used for multiple purposes:

CIERES Publication Database (Fig. 2, below)

- Provides management of all downloaded and processed publications, including editing and linking to new authors.
- Creates reports of publications using multiple filters,

including publication year, vetting status, author name, DOI status, cooperative agreement association, and lead author group (CIRES, NOAA, other).

- Allows for imports directly from Web of Science as a backup to CUBE.
- Enables CIERES Communications to verify that all CA-related publications have been loaded to the NOAA Institutional Repository on an annual basis.

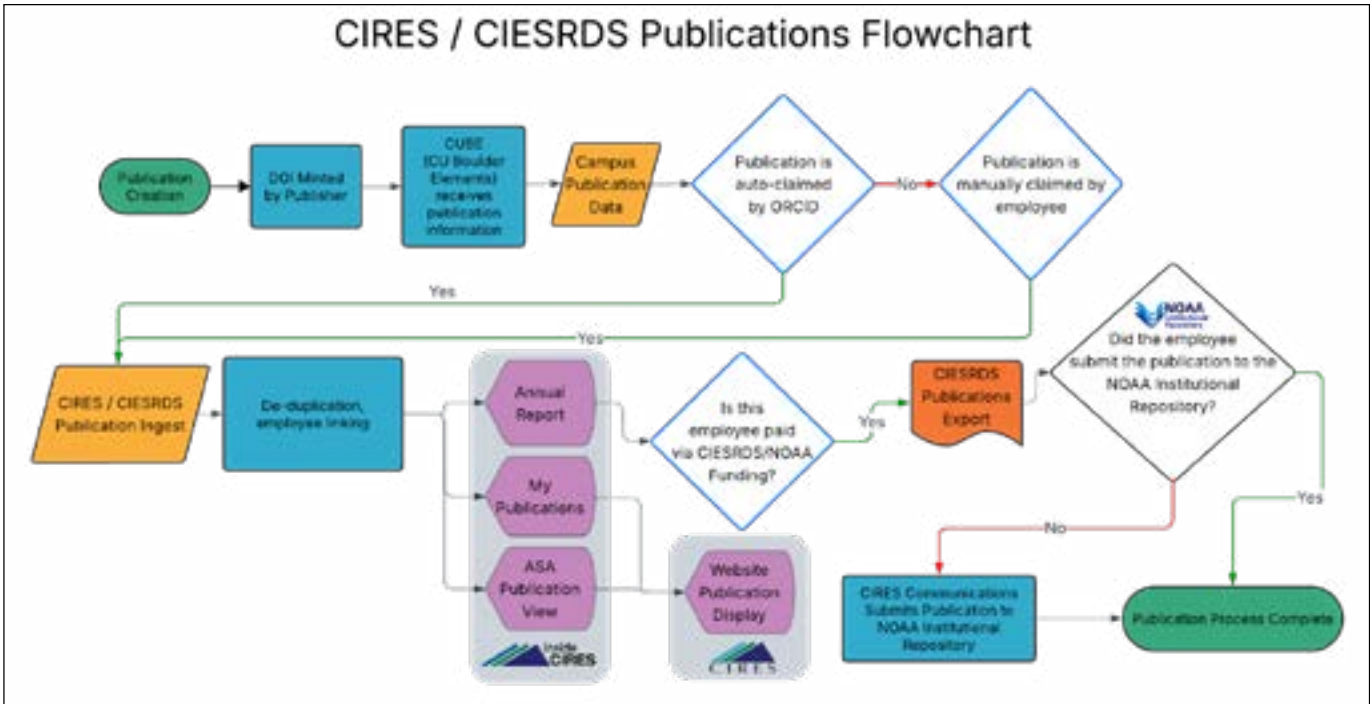


Fig. 1: Flow chart illustrating how CIERES publications are tracked and stored, and how CIERES verifies that the correct publications are entered into the NOAA Institutional Repository.

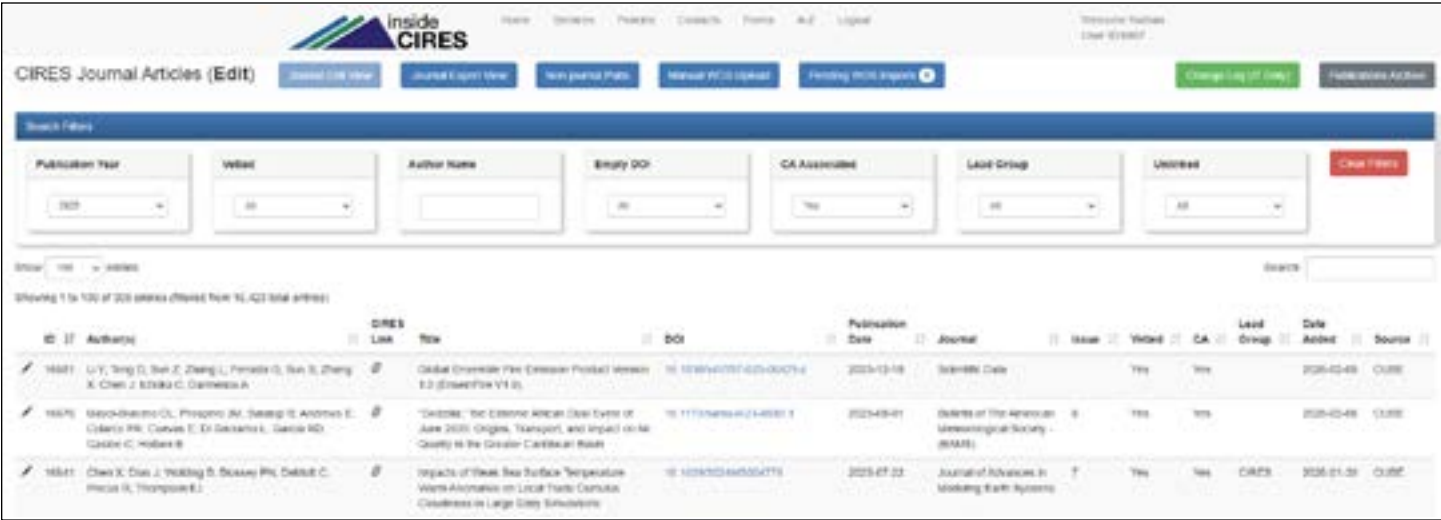


FIG. 2: CIERES Publications Database with multiple filters and management tools. This example filters cooperative agreement publications from 2025.

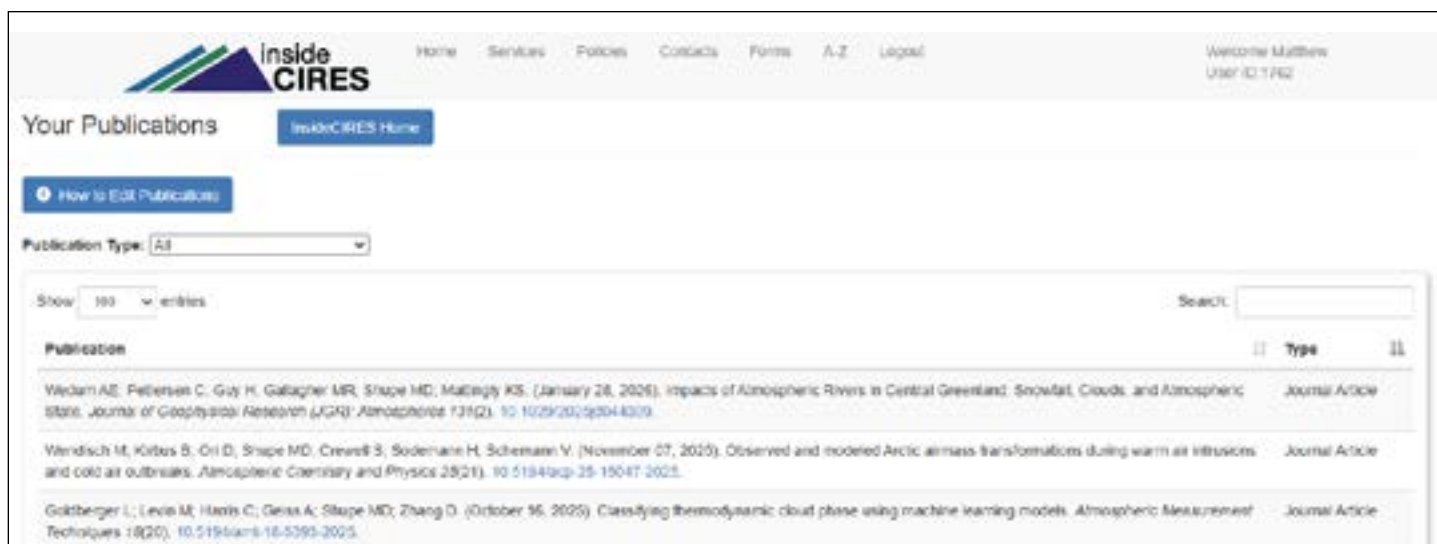


FIG. 3: The InsideCIRES Publications Manager tool offers CIESRDS employees a place to quickly review the publications CIRES receives from CUBE as well as information on how to log in and manage their publications.



FIG. 4: Publications Help Dialog explaining how to manage publications

The publications database also integrates with other tools, including:

- **My Publications:** This tool offers CIESRDS employees a place to quickly review the publications CIRES receives from CUBE as well as information on how to log in and manage their publications (Fig. 3, Fig. 4, above).
- **Annual Summary of Accomplishments (ASA) Publications:** This tool integrates all employee publications from an ASA reporting period into a centralized location for demonstrating accomplishments.
- **CIRES Website Publication Display:** CIRES makes all publications available to search online at <https://cires.colorado.edu/publications>. The system also highlights individual researcher publications on profile pages (e.g., <https://cires.colorado.edu/people/waleed-abdalati#publications>).

Property Tracking

Property is managed by the CIRES Property Manager, individual equipment custodians, and CU's Property Accounting Office. CIRES follows all CU Property policies, which are guided by federal policies and can be found here: <https://www.colorado.edu/property/>.

CIRES IT developed a custom internal application called Asset Manager, available on InsideCIRES. This tool maintains a comprehensive inventory of capital equipment, government equipment, bailments, fabrications, laptops, computers, and software licenses purchased with CIRES-managed funds or assigned to CIRES employees. Each record includes detailed information such as the award funding source, item description, dollar value, purchase order number, property tag, serial number (when applicable), custodian name, and location. Photos are included when available, and automated reminders are sent for off-site assets to ensure timely return and location verification. Asset Manager also tracks govern-

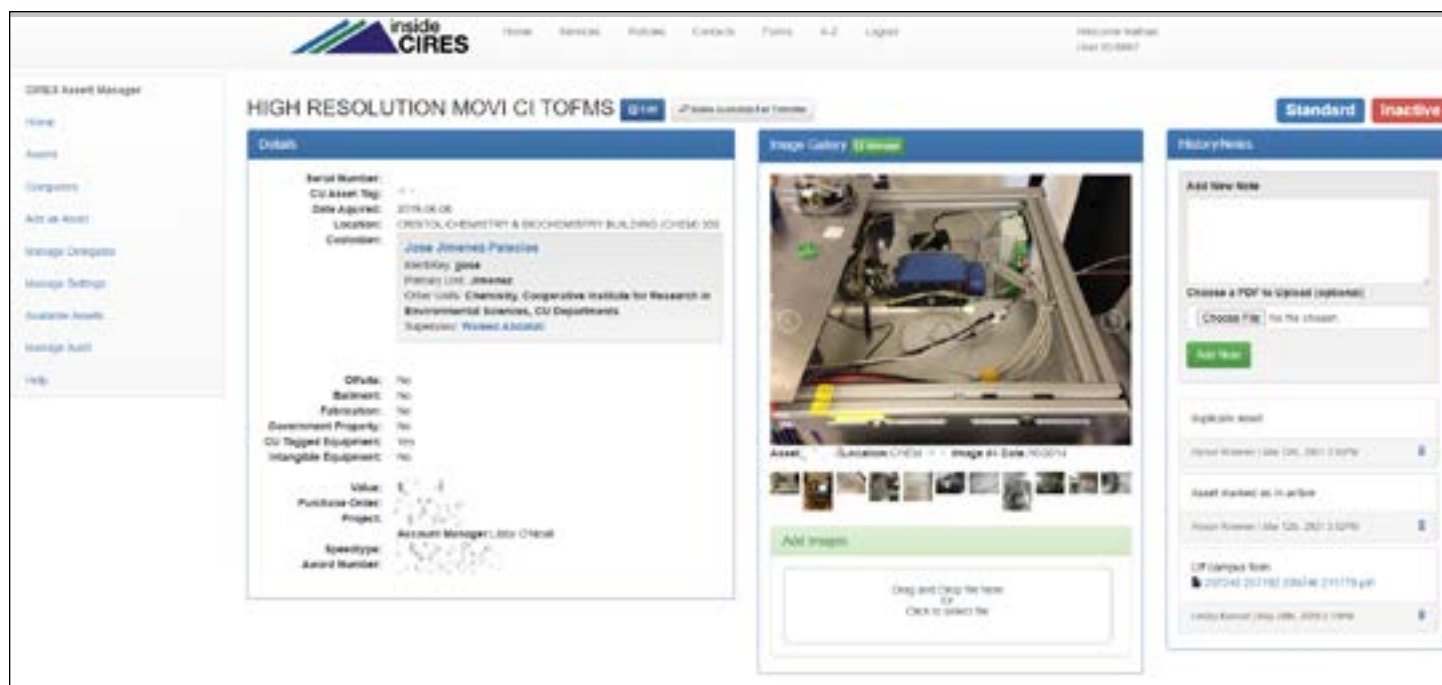


FIG. 5: CIERES Asset Manager is the system used to manage and track all CIERES hardware and property.

ment-furnished or government-titled property and bailment agreements, and it integrates with CU's Property Accounting Office to tag all capital equipment after purchase and billing.

The Asset Manager tool supports both large and small audits at any equipment level and is essential for meeting compliance requirements. CU Boulder requires that CIERES run a full capital equipment audit each year.

The CIERES Property Manager reports the status of all CIERES assets annually during the government inventory review and biannually to the CU Boulder Controller's Office and the Office of Contracts and Grants. Additionally, Asset Manager is incorporated into the departing employee checklist to verify that all equipment, computers, and software are properly accounted for, transferred, disposed of, or terminated as needed. Through these processes and tools, CIERES ensures accurate property management, compliance with federal and university requirements, and efficient operational oversight.

Intellectual Property Records

CU Boulder tracks intellectual property (IP) records primarily through the Sophia portal, where researchers submit disclosure forms for discoveries*, including inventions and software. The disclosure of discoveries created by CU personnel during sponsored research is required by university policy and also ensures compliance with any grants and contracts that funded such discoveries. After submission through Sophia, the Venture Partners office at CU Boulder (the university's technology transfer office) manages the review process. Venture Partners assigns a case number to the technology and a case manager. The case manager then meets with the

scientists to discuss the discovery, available resources, and (if applicable) strategies for commercialization goals. The Sophia portal allows scientists to track their inventions and intellectual property.

**Under current IP policies, "discovery" or "discoveries" means any inventive idea and/or its reduction to practice which relates to, but is not limited to: new processes or methods of producing a new and useful industrial result; any composition of matter, including chemical and biological compounds; any new devices; any new plant; any new design in connection with the production or manufacture of an article; any new computer hardware and/or software programs; any know-how supporting these inventive ideas, systems, devices, compositions, programs or processes; and any new use or improvement of existing systems, devices, compositions, programs or processes.*

CIERES administration coordinates IP issues for CIESRDS scientists. The CIERES Export and Unfunded External Research Agreements Team helps with logistics, tracking each IP concern in the CIERES Export and Research Agreement Ticketing system, assisting with the navigation of the Sophia portal, communicating and meeting with CU Boulder central offices, and providing support throughout the entire process.

For context, in addition to any IP concerns, the CIERES Export and Unfunded External Research Agreements Team coordinates and supports the logistics involved for export control issues, non-disclosure agreements, external MOUs, Data and Resource use agreements, and permits for research expeditions.

12. The process for incurring an expense under a grant from initiation to obligation (for example, lab supplies, or an ad hoc item needed during the life of the project)?

CIRES follows a structured and compliant process for incurring expenses under the CIESRDS Cooperative Agreement. Methods of purchasing include CU Marketplace, the CU Procurement Card, and the CU Travel Card. The process varies slightly depending on the procurement method, but always includes financial oversight, justification, and reconciliation. Each expense assigned to a CIRES-managed fund is reviewed at multiple points by the CIRES Finance Manager; the CIRES Finance Manager ensures that each expense posted to a CIRES-managed fund is allowable, allocated appropriately, directly beneficial to the funding source, consistently accounted for according to applicable policies, and adequately documented. This multi-step process ensures compliance with federal and institutional policies, maintains financial integrity, and supports timely and accurate reporting.

A typical purchasing process includes:

- PI identifies and communicates the need for a purchase with CIRES administrative personnel.
- PI, CIRES Finance Manager, or CIRES Property Manager initiates procurement.
- CU's Procurement Service Center provides secondary approval.
- The expense posts in CU's general ledger (PeopleSoft).
- The CIRES Finance Manager reconciles posted expenses in CIRES's Financial Forecasting Report (HOPE), ensuring that the cost is adequately documented in an appropriate record repository.
- Grant accountants in the Campus Controller's Office review sponsored project expenditures.

CU Marketplace

In addition to the typical purchasing process, purchases through CU Marketplace follow a structured workflow to ensure compliance with university and sponsor requirements. Invoice approvals are documented and attached to the purchase order, and purchases on sponsored awards exceeding \$10,000 receive additional review by compliance specialists in the Campus Controller's Office (CCO). Scope-of-work payments and independent contractor services are screened by CU Employee Services, while honoraria and voucher payments require secondary departmental approval from CIRES team leads. Once items are delivered, the principal investigator or research team confirms receipt and quality, and the item is marked as received in Marketplace. If a vendor requires a signed contract, the CIRES Finance Manager initiates a Small Dollar Contract Review Form, which routes to the Procurement Service Center Purchasing Agent for negotiation and signature. The CIRES Finance Manager also collaborates with the PI to confirm that financial terms

are allowable under the award before finalizing the requisition and purchase order.

CU Procurement Card (P-Card)

All P-Card holders are required to complete training before a card is issued, and only a limited number of CIRES staff are authorized to use P-Cards. All P-Card transactions undergo review by the CIRES Purchasing Manager, a CIRES Finance Manager, and a CU Procurement Service Center Payables Specialist. Expenses are reconciled and reported monthly in Concur, and CU Internal Audit, along with the PSC Purchasing Manager, regularly review P-Card reports to ensure compliance with university policies and procedures.

Travel

University of Colorado policy requires all travel to receive departmental prior approval. CIRES has a dedicated travel team that reviews and approves travel requests on CIRES-managed funds to ensure travel plans meet federal, CIRES, and CU policies. To facilitate travel request and reconciliation processes, CIRES IT developed a custom internal application for managing travel at CIRES. In the travel tool, travelers submit a detailed request for trip approval, outlining the business need for the trip, funding source for the costs, and providing specific information on the travel plan (dates, destination, transportation methods, estimated costs); the CIRES travel team receives the submitted request and reviews it to ensure the costs and travel logistics are reasonable, that the funding source has a sufficient balance of funds to support the estimated costs, and that an appropriate business justification for the travel is provided. The CIRES travel team also ensures the requested travel plan complies with CIRES, CU, award-specific, and federal policies (e.g. the Fly America Act). After travel is completed, travelers begin the expense reconciliation process in the travel tool by submitting a report with their expenses, receipts, and an explanation of any changes to their travel plans from their request. The CIRES Travel team uses this internal travel report to prepare a final expense report on behalf of the traveler in CU's expense reporting system, Concur. As with other CIRES purchasing methods, travel expense reports are reviewed and approved by a CIRES Finance Manager and a Procurement Service Center payables specialist after the CIRES travel team has prepared the report and the traveler has submitted it.

Cost tracking of Tasks I, II, and III, cost share (if applicable), indirect costs, and the cost reconciliation process?

Task I funding is managed through a single dedicated speedtype, overseen by the Finance Director. This speedtype supports salary and operating expenses for CIRES administration, education and outreach, postdoctoral and

sabbatical visiting fellows, and Graduate Student Research Award programs.

Task II funding is organized into distinct speedtypes and sub-projects, aligned with the respective labs and centers. This is demonstrated in the Award Set Up section of Appendix C.

Task III projects each have their own speedtype; each of these speedtypes is set up with a detailed budget and defined period of performance, specific to the proposed project.

CU Boulder applies reduced indirect cost rates for Task I and Task II, as agreed upon in an internal MOU with the university. For Task II, the indirect rate is 22%, compared to the university's standard rates of 56.5% for on-campus work and 26% for off-campus research. Additionally, for Task II, the campus returns more than double the standard indirect

cost recovery (ICR) to CIRES to support the administrative infrastructure necessary for successful execution of the cooperative agreement.

Monthly financial reconciliations are performed by CIRES Finance Managers for each project/speedtype.

These include:

- Verifying expenditures for allowability, allocability, reasonableness, and consistent treatment
- Ensuring all expenses are adequately documented and occur within the defined period of performance
- Comparing actual expenditures to the approved budget
- Assessing projected spending to support accurate forecasting and reporting to principal investigators and project leads

13. Can the CI facilitate a system’s demonstration?

Yes, the CI can facilitate a system’s demonstration. Documentation is provided in Appendix C.

Selected finance systems are documented in Appendix C and other systems are discussed in Question 11. Systems available for demonstration include:

- | | |
|--|--|
| <ul style="list-style-type: none">• mFin-CU Data• PMT• Training Tracking• Advanced Reporting System• Avature• Obi-wan/HOPE• Publications | <ul style="list-style-type: none">• Asset Manager• STEPS Tool• Proposals Tool• Export and Unfunded External Research Agreements Ticketing System• InfoEd - Official CU Repository for Pre/Post-award Documentation |
|--|--|

14. Can CI submit documentation in advance and be prepared to provide a live demonstration?

Yes, the CI can submit documentation in advance and be prepared to provide a live demonstration. See Appendix C for documentation of selected finance systems.

15. Provide the current version of ASP.

See Appendix A

16. Provide the current version of the UA.

See Appendix B. Note that CIESRDS requested a six-month extension to complete the Use Agreement, a special award action that must be developed after the award is issued. Because the agreement governs the use of NOAA facilities and space, it requires coordinated input from our federal partners to ensure it accurately reflects operational needs

and federal requirements. This is an inherently complex process, and CIESRDS is awaiting additional guidance from our federal partners to move forward effectively. The requested extension was to allow time for that collaboration and for the agreement to be completed in alignment with NOAA expectations.

Appendix A: Administrative Support Plan

The Administrative Support Plan included in this appendix was developed in accordance with guidance provided by the federal Administration at the time of the initial award.

Cooperative Institute for Earth System Research and Data Science (CIESRDS)
NA22OAR4320151

Administrative Support Plan

Lead Institution:

Cooperative Institute for Research in Environmental Sciences
University of Colorado Boulder
216 UCB
Boulder, CO 80309

Principal Investigators:

Waleed Abdalati, Director
Christine Wiedinmyer, Associate Director for Science

Award Period:

September 1, 2022 - August 31, 2027

CIESRDS Award Administrative Support Plan

The CIESRDS-funded (CIESRDS) workforce is part of the University of Colorado (CU) Boulder's Cooperative Institute for Research in Environmental Science (CIRES), and as such will benefit from the robust university investment in CIRES and its long history of success. CIRES is viewed as a highly desirable place to work on the university campus, given its high-impact scientific mission and people-first approach. CIRES employs about 830 people, including undergraduate and graduate students. As such, the approximately 415 CIESRDS personnel in the NOAA David Skaggs Research Center will make up about half of the overall CIRES research enterprise, and they will collaborate closely with federal scientists in the NOAA Laboratories and Centers located there.

As CU Boulder and CIRES employees, our CIESRDS workforce will do service, including attending CIRES town halls and other CIRES meetings, serving on CIRES committees, pursuing Diversity, Equity, Inclusion, and Accessibility (DEIA) activities, and participating in professional development trainings. This is all part of the expectations that CIRES and CU Boulder has for their employees. Time allotted to these activities are determined with their supervisor and can then occur as part of normal work day.

CIESRDS employees will adhere to all safety requirements as required by the CU Boulder and the terms and conditions of the CIESRDS Cooperative Agreement with NOAA.

Administrative Services, Including Fiscal & Human Resource Management

We will employ a professional administrative staff of sufficient size to support CIESRDS scientists in their various roles and to meet the needs of the cooperative agreement. The administrative staff will include experts in finance, human resources (HR), DEIA, communications, education and outreach (E&O), information technology (IT), facilities, event planning, and general administrative support (Figure 1). The administrative team will continue to ensure all employees—researchers, faculty, administrators, and students—receive the support necessary to fully engage in their work and progress in their careers.

Human Resource Management

Experienced HR staff will administer all aspects of CIESRDS hiring, employment (including annual performance reviews), training and professional development, payroll, compensation, international employee support, and benefits in support of CIESRDS staff. The current team has an excellent track record of recruiting and retaining exceptional researchers, and contributing to the development of NOAA's federal workforce (e.g., 52 CIRES employees obtained federal positions in NOAA during the last 10 years). HR partners regularly with the CIRES Director of Diversity and Inclusion (DEI), working with the campus Office of Institutional Equity and Compliance to monitor workforce demographics and hiring process metrics, to track trends towards a more diverse workforce.

Our HR experts will onboard all new employees, to introduce them to CIRES and university policies, procedures, benefits, and other relevant details, including expectations of those working in the NOAA laboratories. CIESRDS employees will be hired and supervised by CIRES

employees. Individuals and teams will also benefit from the support of a federal science advisor, who provides input to the day-to-day work of the CIESRDS researchers. Science advisors and other federal employees may provide input to the CI's evaluation performance. This input is limited to an evaluation of a CIESRDS employee's contributions to collaborative projects. CIRES also invites federal partners to provide input to the hiring of CIESRDS employees.

Our HR team will work closely with university HR to offer all CIESRDS employees high-caliber and relevant professional and personal development opportunities, mental health support resources, and employee recognition programs. Regular training opportunities will include topics such as: inclusive hiring and recruiting practices; supervisor expectations; on/off-boarding; and skills development in areas of leadership, project management, communications, and more. HR is committed to ensuring an inclusive approach to its work and related guidance. This includes extending training opportunities to our federal colleagues as well, when appropriate. The cost of professional development training will generally be funded by CIRES HR; the cost of technical training to develop or enhance a necessary skill set for a current position within a NOAA unit will be funded by Task 2 funds.

Other resources and professional development opportunities available to CIESRDS employees will include:

- The CIRES Graduate Association, serving the needs of (and led independently by) graduate students and postdoctoral scholars. We will provide direct support (e.g., IT and grants management) and ongoing training and professional development (e.g., communications, career development, and networking) for these early-career researchers. We will offer, annually, competitive graduate student research assistantships and travel grants.
- The CIRES peer-mentoring program, run by employees, including trainings on active listening, inclusive mentorship, and other topics.
- Continual invitations to CIESRDS HR-, proposal-, and networking-related opportunities from the CU Boulder Research & Innovation Office (RIO), including the Office of Postdoctoral Affairs, and the greater university community, including other institutes and the Office of Government Relations.
- The opportunity to collaborate with the Colorado Postdoctoral Association; Colorado Leveraging Assets for Better Science (CO-LABS), a business-led consortium that promotes, educates about, and connects federally funded research in Colorado; NCAR; UNAVCO; Earth Science Women's Network (ESWN); AGU; American Geosciences Institute (AGI); and others to offer professional development trainings.
- HR Trainings that include supervisor, performance review, and other professional development.
- Field safety and risk management training, including harassment and discrimination.
- Communications and engagement training related to early-career and other scientists' use of social media and engagement with broader audiences (eg, journalists, policymakers)
- Complementary trainings offered by others across campus and the Front Range science ecosystem.
- Professional development and positive support for interns and scholars, including onboarding, weekly support and cohort building, access to affinity groups and resources, and summer workshop training.

- ◆ **Inclusive mentoring and professional development training** for CIESRDS researchers to help them mentor across differences without asking students to assimilate or code-switch
- ◆ **Regular communication** with students throughout their educational career to help them transition within the suite of intersecting opportunities and help successive cohorts.

As employees embedded in a NOAA facility, CIESRDS employees and their interactions with federal partners will be guided by the following CIRES and University of Colorado Boulder protocols:

- ◆ **Work Modality:** Work modalities for CIRES employees are to be determined by the CIRES supervisor with input from CIRES unit and federal science advisor. Fully remote work requests require further approval from CIRES Director and CU Dean of Institutes.
- ◆ **Inclement Weather:** CIRES employees will follow inclement weather guidance (closures and delays) issued by the University of Colorado Boulder campus. Currently, the campus policy does not expect CIRES employees to work during official campus delays or closures and they will receive administrative leave. This may also mean that if the NOAA site is closed and CU is open, CIRES employees will be working remotely. CIRES employees who do not have the ability to work remotely when the NOAA site is closed will receive administrative leave in those situations.
- ◆ **Holidays and Early Release:** CIRES employees embedded at NOAA will follow the federal holiday schedule. They are also eligible for early releases offered by their respective NOAA unit lab. In addition, they are eligible for any additional administrative or holiday leave granted by the Governor of Colorado or the Chancellor of the University.
- ◆ **Relocation Costs:** CU and CIRES employees are eligible to receive relocation funds when accepting a position with us. Offering relocation is a standard part of a competitive relocation package for new employees. Relocation costs will be charged to Task 2 funds.
- ◆ **Personnel Issues between CIRES and Federal Employees:** When issues between CIRES and federal employees arise, CIRES will offer its employees access to all appropriate campus resource groups, including the CU Office of Victim's Assistance, campus Ombudsman, and Office of Institutional Equity and Compliance. In addition, the CIRES Associate Director for Science and the CIRES HR Director will work directly with either: 1) a dedicated NOAA contact person or 2) leadership within the respective NOAA unit lab in order to directly address and resolve the issue for employees within each organization. *The details of the mechanisms by which personnel issues between federal and CIRES employees are addressed will be developed in the next six months and appended to this document.*

Diversity and Inclusion

Justice, Equity, Diversity, and Inclusion (JEDI) are values that CIRES, CU Boulder and NOAA are working to integrate into everything we do. CIRES has invested in DEI personnel and programming since 2017, in support of NOAA DEI Strategic Goals and also in support of CIESRDS people and programs. Our DEI Program will coordinate with NOAA and with campus partners to develop an inclusive workplace culture, recruit and retain a diverse workforce, and partner with organizations that serve underrepresented and minoritized groups. Our successes and plans are summarized here:

- ◆ Administrative actions taken in response to an institutional workplace culture survey resulted in statistically significant improvements to the workplace culture within one year.

such as decreased instances of incivility. CIERES will track workplace culture at regular intervals to assess state-of-the-culture and to plan annual actions in response.

- ◆ Our HR team is currently working to identify and rectify any identity-based compensation disparities as part of our response to the Colorado Equal Pay Act. For example through an institute-wide compensation analysis, CIERES will continue to develop fair and competitive salaries for CIESRDS staff that comply with state and federal laws.
- ◆ CIERES will systematically scale up inclusive recruiting, search and hiring practices, and assessment of workforce demographics and hiring metrics (in partnership with CU Boulder Equal Employment Opportunity (EEO)).
- ◆ CIERES will support programs such as the mentoring program (including inclusive mentoring training), a graduate student and postdoc association, a DFT Community of Practice, and will promote inter-Institute affinity groups.
- ◆ CIERES will expand upon existing and build new relationships with organizations that support underrepresented and minoritized students and scientists, such as the NOAA CSCs and professional societies that promote DFT in the sciences.
- ◆ We will provide professional development and positive support for interns and scholars, including onboarding, weekly support and cohort building, access to affinity groups and resources, and summer workshop training.
- ◆ Provide inclusive mentoring and professional development training for CIESRDS mentors to help them mentor across differences without asking students to assimilate or code-switch.
- ◆ Maintain regular communication with students throughout their educational career to help them transition within the suite of intersecting opportunities and help successive cohorts.
- ◆ Encourage deepening skills of all CIESRDS members and collaborators in JEDI and ensure compliance with all required training, through:
 - Promoting and supporting JEDI professional development. Past examples include facilitated discussion through CU Boulder Coursera Anti-Racism Course, training in difficult conversations, inclusive hiring practices, supervisor training, interpersonal skills, and inclusion for different identity groups;
 - Institute-wide and inter-institute community-of-practice groups and employee resource groups (affinity groups);
 - Recognizing diversity and inclusion contributions in performance assessments;
 - Systematizing and scaling inclusive hiring practices; and
 - Monitoring employee completion of required university DEI training.

Fiscal Management

Our Finance office provides comprehensive day-to-day management of the institute's sponsored and non-sponsored funding and provides high-quality pre and post-award administration support services. CIRES finance staff will work in partnership with CU Boulder's Office of Contracts and Grants, the Campus Controller's Office, the Research & Innovation Office, Export Control, CU Legal Counsel, and others to ensure CIESRDS' compliance with all applicable federal, state, and funding agency regulations, and university policies, as well as award terms and conditions. Finance staff will monitor all expenditures to ensure they are compliant, reasonable, allowable, and allocable to the project. The Campus Controller's Office generates and submits required periodic financial reports and Finance will monitor this process as well as technical report submissions by PIs. Finance staff will administer award close-out procedures to ensure all university and funding agency requirements are met. Finance staff will work closely with the Campus Controller's Office in all aspects of fiscal management and provide additional support services to PIs, such as tracking known encumbrances and monitoring spending rates using a customized reporting tool developed in-house. CU Boulder has a centralized Project Management Office that provides resources, training, and access to Project Management Professional certification and will assist in meeting funding agency expectations for successful award management. Dedicated staff will assist with university compliance reporting, licenses, and permits for fieldwork, disclosure agreements, and analysis necessary to address export control concerns related to travel, shipping, visitors, and deemed exports. Finance will have dedicated travel liaisons who review and approve all business travel. Staff will regularly attend training to maintain expertise specific to sponsored award administration. We will work closely with our federal colleagues to ensure the award is spent in the way it's intended and is beneficial to the work based on the budget details provided to CIRES. CIRES Finance staff will authorize spending on the CIESRDS award, not our federal partners, as what is allowed on the federal side differs from what the university allows. CIRES will ensure successful, compliant, fiscally responsible management of the NOAA CIESRDS cooperative agreement.

Administrative Support Structure at NOAA Facilities

Administrative experts will regularly staff four physical offices in NOAA's DSRC to provide administrative support for CIESRDS employees working in the building and ensure robust communication and collaboration between CIESRDS and NOAA. These offices are for:

1. A liaison, who will have extensive knowledge of CIRES and campus people and policies. This person will onboard NOAA-based CIESRDS employees and support day-to-day administrative tasks such as HR and travel support.
2. A rotation of leaders, which may include the Directors of Communications, DEI, Education and Outreach, Finance, HR, and IT and Operations; the CIRES Director; or their designees. These leaders will support CIESRDS employees and coordinate with NOAA colleagues serving in similar roles.
3. A sustained presence of the CIRES Associate Director of Science (ADS) and the CIRES/CIESRDS Administrative and Scientific Manager, who will supervise and/or mentor CIESRDS scientists, who will identify scientific opportunities, and who will engage in regular, ongoing communications with NOAA leadership in Boulder to develop scientific work plans and ensure CIESRDS employees are working collaboratively on projects supported by the agency.
4. A CIRES science communicator, who will produce and support the production of

internal and external communication products about our institutions' scientific discoveries, successes, innovations, and people.

CIRES will also designate a Lead position in each of the NOAA Laboratories or Centers at the DSRC. These Leads will be supervised directly by the CIESRDS Administrative and Scientific Manager and CIRES ADS, be at the top of the supervisory tree in their unit, and will be a primary point of contact between their laboratory or center and CIRES leadership and administration. This will increase communications and collaborations across the organizations.

Administration Organization Chart

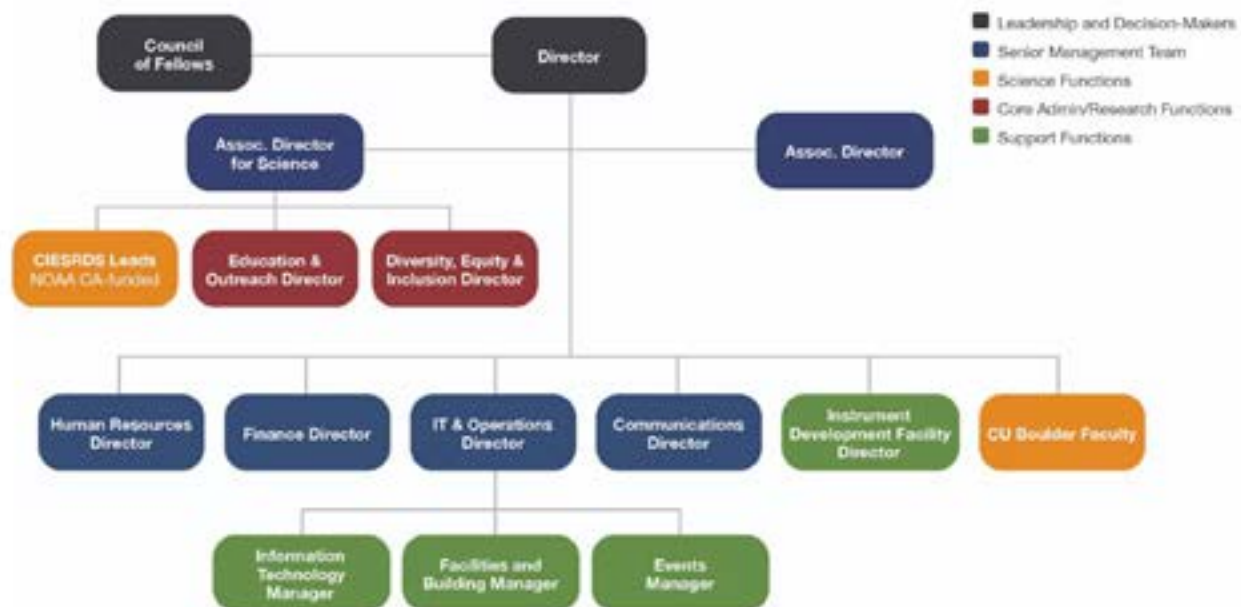


Figure 1: Administration Organizational Chart. This sketch shows the administrative organization of CIRES, with, for example, the Associate Director of Science supervising CIRES/CIESRDS Leads. The CIRES Director also serves as the CIESRDS Director and is ultimately responsible for administering the entire institute.

Performance Measures

We propose performance evaluation on multiple timescales and levels of organization. CIRES will finalize a set of acceptable performance measures for the CIESRDS Cooperative Agreement, CIESRDS projects, and CIESRDS employees, which will include:

- **Individual** annual performance reviews, in accordance with CIRES and University of Colorado Boulder practices, including assessment of: scientific achievements, publications, software and dataset development, technology transfer, honors and awards, JEDI work, education and outreach service, service to CIRES, and more.
- **Project** performance reports, conducted annually through Research Performance Progress Report (RPPR) and NOAA communication required in each group,

including:

- annual review of our work plan with NOAA leadership, and realignment as needed, and
- additional reporting as required by NOAA for specific projects
- **Institutional performance reviews**
 - The Boulder campus Academic Review and Planning Advisory Committee (ARPAC) reviews all academic units every 7 years. Our next review will be in 2025.
 - NOAA reviews
 - CIESRDS science and management will be reviewed by NOAA four years into its new cooperative agreement with the agency.
 - NOAA laboratory reviews consistently involve presentations by CIESRDS scientists embedded in those groups
- **Other metrics recommended in NOAA's CI21 study, including publications, products transitioned into operations, leveraged funding, number of Ph.D. and Master's degrees awarded, number of employees who attain NOAA employment, media reporting on CIESRDS science, and descriptions of public outreach**

Operations

Accountability and Project Choice

CIESRDS, as a unit of the University of Colorado, will be accountable to all its stakeholders, including the university system and campus, sponsoring agencies, its PIs and employees, the international scientific community, and the public at large.

We will ensure our CIESRDS cooperative agreement-funded work aligns with NOAA, CIESRDS, and CU Boulder strategic objectives and policies. Scientific priorities will be set in collaboration with NOAA partners and aligned through the annual CIESRDS work plan. To ensure accountability to that plan, CIESRDS will report on CIESRDS work and progress annually to NOAA through an annual report, delivered on deadline and in the format required by the CI handbook or other guidance.

Initially, our scientific and support activities will be divided into the projects associated with our proposed Research Themes. Each project will be developed in collaboration with federal partners and will align with the research themes and goals of CIESRDS, NOAA, and other supporting agencies. CIESRDS scientists will be highly integrated within the NOAA Centers and Labs in Boulder (and beyond), and this collaborative setting enables the identification and development of new projects and research directions. Moreover, CIESRDS scientists will be agile and responsive, so external events requiring rapid response may drive new projects that align with the NOAA mission. Relevant CIESRDS and NOAA scientists and managers will contribute to project definition, scope, goals, and deliverables, ensuring that projects contribute to NOAA goals and objectives and make appropriate use of CIESRDS expertise and resources. NOAA sponsors will not have supervisory, budgetary or spending authority over CIESRDS personnel or projects, but will have responsibility to coordinate scientific efforts in support of NOAA's objectives.

CIESRDS scientists may also pursue other funding opportunities — when agreed to by NOAA Lab and Center Directors — that are aligned with their NOAA research goals, supplementing

and amplifying the work supported by the cooperative agreement.

CIRES will host retreats, an annual science symposium, and will create other opportunities to bring diverse scientists together to identify new research opportunities and pursue opportunities collaboratively. These gatherings will include researchers from both the campus side as well as NOAA side of CIRES and are meant to inspire innovation and creativity in research. We will support an annual Distinguished Lecture Series, with invitees selected by a committee of Fellows; an Outstanding Performance Awards program run by our members council; and ~5-8 Innovative Research Projects every year, through a competitive process.

Appendix B: Use Agreement

U. S. DEPARTMENT OF COMMERCE Award Action Request	Award Number NA22OAR4320151
Recipient Name REGENTS OF THE UNIVERSITY OF COLORADO, THE	Request Type Other Document ID: 3141335
Street Address 3100 MARINE ST STE 481 572 UCB	Award Period 09/01/2022 - 08/31/2027
City, State, Zip Code BOULDER CO 80309-0001 USA	Total Award Funding Federal: \$40,825,399.24 Non-Federal: \$0.00
Program Office OAR Cooperative Institutes Program Office (CIPO)	Program Officer Sandra Byers 301-734-1125 sandra.byers@noaa.gov
CFDA Number and Project Title 11.432: Cooperative Institute for Earth System Research and Data Science	
Description Extension request for Use Agreement	
Justification In response to the below special award condition “Use Agreement” for NA22OAR4320151: Use Agreement. Within six months of the award start date, the recipient and NOAA will have executed a Use Agreement that will be incorporated into this award. The Agreement shall describe the physical space and contents that NOAA has agreed to provide for recipient researchers. The Agreement will specify, among other terms, permitted uses of designated space; physical access requirements; environmental considerations; liability considerations and other responsibilities, including maintenance of insurance and disposition of claims; transfer and assignment proscriptions; and security protocols for the property itself and any Federally-controlled information technology systems. This Agreement shall cover office facilities, computing, and other Federal services. The recipient must submit an “other” award action request to incorporate the Use Agreement into the award. As the Use Agreement is very specific to NOAA facilities and space, the CI can’t dictate how NOAA space is used, and the agreement requires substantial input from our federal partners. This is a very complex process and CIESRDS is requesting a six month extension as we wait for further guidance from our federal partners on how to proceed.	
Award Action Request Status Approved	
SUBMITTED BY Genevieve Hurst	DATE 02/23/2023
APPROVED BY Freddie L. Isaac	DATE 03/21/2023

Appendix C: CIESRDS Finance System Demonstration

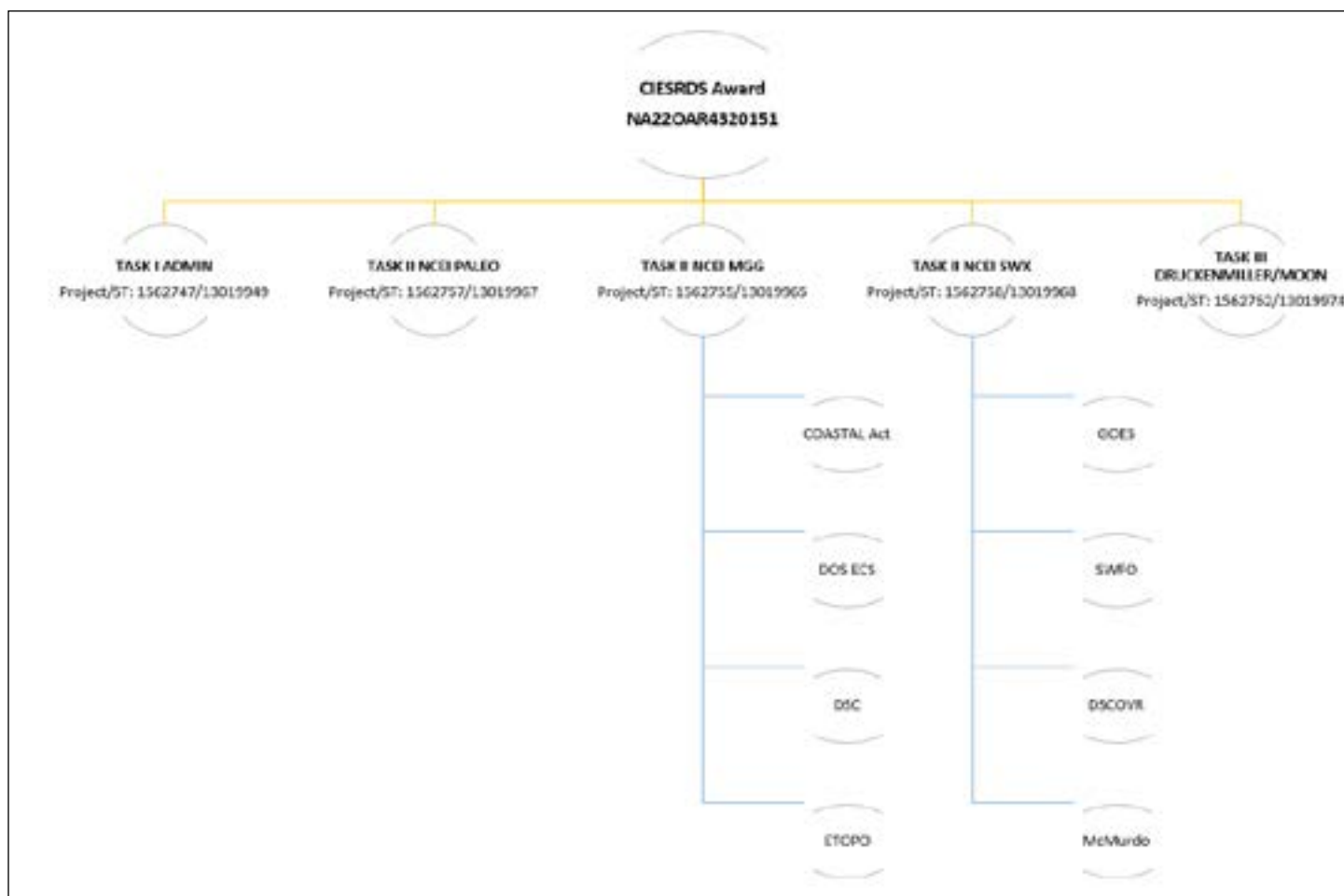


FIG. 6: Selected sample of account hierarchy available for CIESRDS award fund management. NOTE: Only some of the Task II funding and sub-projects are depicted above.

Award Set-Up

Task I, Task II, and Task III funds issued by NOAA for the CIESRDS award are assigned distinct Project and Speedtype reference numbers in CU's accounting system. To facilitate effective and compliant financial management of those funds, CIRES uses an internal application to further organize, budget, and track expenditures within each task designation. Task I and Task III funds are managed at the project and speedtype account level. In the Advanced Reporting System, CIRES finance managers can further subdivide Task II funds into sub-projects within the same project and speedtype account, in coordination with their assigned lab/center.

Funding Modification Received

When a funding modification is received through eRA Commons for the CIESRDS award, the CIRES finance manager for the assigned lab/center enters the funding modification details into our Advanced Reporting System (ARS; Fig. 7).

Funding is initially allocated at the project/speedtype level to assist OCG and CCO with updating the CU accounting system. The CIRES finance manager can also further designate funding for sub-projects on Task II funds. For example, in funding modification 109, Task II funds were received for multiple NCEI groups and sub-projects:

Funding Added at Project/Speedtype Level

The funding was first added to the Task II NCEI budgets for MGG, GEOMAG, PALEO, and SWX (see Fig. 8).

Funding Added at Sub-project Level:

Within each Project/Speedtype, the CIRES finance manager further assigned funding to specific subprojects (Fig. 9).

If a funding action on the CIESRDS award is related to a new sub-project, the CIRES finance manager can create new sub-projects in the Advanced Reporting System when processing the funding modification.



FIG. 7: Screenshot of the landing page of our Advanced Reporting System.

17		11 NOAA Effective Date		11 Task I Base ⓘ		11 ICR Share (14.11%)		11 Task II Project Allocation			11 Direct costs+22% IDC		11 Status	
AMD	Total		Creator					Project	Speedtype	Direct Cost	+22% IDC	SubProject		
108	\$10,363,700	2025-08-19	Nicole Joy	\$233,005.96	\$1,171,672.89			TASK II NCEI MGG - 1562756	13019965	\$693,411.48	\$1,080,902	View	\$10,130,694.04	Approved
								TASK II NCEI GEOMAG - 1562756	13019966	\$1,573,372.16	\$1,919,514.04	View		
								TASK II NCEI PALEO - 1562757	13019967	\$280,435.25	\$342,131	View		
								TASK II NCEI SWX - 1562758	13019968	\$5,556,628.69	\$6,779,067	View		

FIG. 8: This screenshot shows that in a specific example of a funding modification, we received funding for four different NCEI groups. We assigned the funding to the appropriate speedtype.

Fund Distribution #1 \$ 1089962.00 ST 13019965 [+ Add Speedtype](#)

☐ Speedtype Unknown

+ Subproject						
	DOS ECS	\$	466802.18	42.83	%	+ Add Split
	MGG Base - Water-Level	\$	90332.13	8.29	%	- Remove Split
	MGG Base - GIS	\$	19550.34	1.79	%	- Remove Split
	NOS - DCDB	\$	243949.85	22.38	%	- Remove Split
	Software Development	\$	152025.45	13.95	%	- Remove Split
	Ocean Video AI	\$	117302.05	10.76	%	- Remove Split
Subproject Amt		\$	0.00	0	%	

FIG. 9: This screenshot shows how funding from Amendment 109 was allocated on speedtype 13019965 to the corresponding subprojects.

Speedtype	Journal ID	Journal Date	Month: FY	Amount	Account Code	Description	GL Link	CRES Link	Sub-Project
13019965	BV1969034	2025-10-13	OCT-2025	\$110.00	600490 (IT SOFTWARE LICENSES)	ADOBE ILLUSTRATOR		GL CRES	DOS ECS
13019965	AP01996647	2025-10-13	OCT-2025	\$282.02	600290 (IT SERVICES)	AWS SERVICES: MARINE GEOLOGY & GEOPHYSICS (MGGGP) NCEI AWS ACCOUNT, PROJECT# 1502755. PRICING, TERMS AND CONDITIONS AS PER ATTACHED QUOTE AND ITS UNDERLYING CONTRACT.		GL CRES	Software Development
13019965	AP01996647	2025-10-13	OCT-2025	\$83.34	600290 (IT SERVICES)	AWS SERVICES: PRICING, TERMS AND CONDITIONS AS PER ATTACHED QUOTE AND ITS UNDERLYING AGREEMENT. FISHERIES NCEI AWS ACCOUNT, PROJECT# 1502755.		GL CRES	Ocean Acoustics

FIG. 10: This screenshot shows how we link expenses to specific people and subprojects. Information shown in the two columns from the right-hand side can be updated to link expenditures to the correct person and to assign costs to specific subprojects.

Travel Projections						
EmpID	Employee Name	Final Destination	SpeedType	Start Date	End Date	Total
		Wageningen, Netherlands	13019965 (100%)	06/16/26	06/25/26	\$4,576
		Glasgow, United Kingdom	13019965 (100%)	02/20/26	02/26/26	\$5,358
		Glasgow, United Kingdom	13019965 (100%)	02/20/26	02/26/26	\$5,676
		Glasgow, United Kingdom	13019965 (100%)	02/20/26	02/26/26	\$5,301
Total						\$20,812

Other Projections					
Budget Category	Description	Amount	Benefit	F&A	Total
OPERATING EXPENSES	Business Desktop Licenses Renewal \$548 /5 per user (x4 users or x2 laptops)	\$1,238		\$272	\$1,510
Total		\$1,238		\$272	\$1,510

FIG. 11: This screenshot shows approved travel requests that are reflected as future travel costs on the financial report, based on the total estimated cost of the trip from the travel tool. The 'Other Projection' section can be used to manually enter other anticipated costs.

Expense Linking and Monitoring

The CIERE finance manager monitors and reviews each project/speedtype and sub-project every month to ensure cost allowability, allocability, necessity to the project, reasonableness, and confirms expenditures are adequately documented. As part of this monthly review, the CIESRDS finance manager links each expenditure on Task II Projects/Speedtypes to a person (typically a CIERE/CIESRDS employee) and assigns the costs to the appropriate sub-project (Fig. 10).

When each cost for the month is linked to the appropriate person, assigned to the correct sub-project, and confirmed compliance with cost principles policies, the CIERE finance manager reconciles and internally publishes the financial report.

Forecasting Expenditures

CIERE uses multiple internal applications for planning future expenditures on the CIESRDS award:

The Central Salary Database applications and Personnel Management Tool are used to forecast expenditures for salary and fringe benefits, based on allocation plans entered by the CIERE finance manager, in coordination with the PI and project teams.

The CIERE travel tool is used to forecast expenditures for upcoming travel that has been requested and approved by the CIERE travel team.

The CU accounting system is used to forecast upcoming purchases entered in CU Marketplace and to forecast pending tuition expenses for graduate research assistants.

Project: 1562755 SpeedType(s): 13019965									
Financial Report as of October 31, 2025									
TASK II NCBI MOG									
Principal Investigator: Waleed Abdalati									
Start Date 2023-09-01									
Anticipated End Date 2027-08-31 Authorized End Date 2027-08-31									
Notes:									
To Date Actuals									
Account Description	Total Funding Received	Monthly Actuals	To Date Actuals	% Spent To Date	Available Balance	Salary, Travel, Operating	Future Expenses Projections	Other	Total Balance
Amendment Funding	\$13,120,478	\$0	\$0	-	\$13,120,478	\$0	\$0	\$0	\$13,120,478
400000 - 818398 - SALARIES AND WAGES	\$0	\$136,847	\$5,261,562	-	\$(-5,260,562)	\$874,250	\$0	\$0	\$(-5,967,891)
419400 - 830999 - BENEFITS	\$0	\$63,433	\$2,013,562	-	\$(-2,013,562)	\$260,614	\$0	\$0	\$(-2,263,176)
450000 - 699999 - OPERATING EXPENSES	\$0	\$090	\$137,479	-	\$(-137,479)	\$10,967	\$1,238	\$0	\$(-148,780)
700000 - 799999 - TRAVEL	\$0	\$1,873	\$197,143	-	\$(-197,143)	\$20,472	\$0	\$0	\$(-217,554)
950000 - 952499 - FACILITIES & ADMIN COST	\$0	\$42,492	\$1,601,194	-	\$(-1,601,194)	\$214,353	\$272	\$0	\$(-1,895,009)
Total	\$13,120,478	\$256,636	\$9,322,828	71.1%	\$3,797,649	\$1,188,696	\$1,510	\$0	\$2,967,366
Anticipated available balance (for direct costs):									\$2,537,198

Burn Rate	
Last 3 Months Average Expenses:	\$271,167
Estimated consumption date for current funding: 12/31/2626 (14 months / 1.17 years) using last 3 month average	
Last 6 Months Average Expenses:	\$278,605
Last 12 Months Average Expenses:	\$287,725

FIG. 12: This screenshot shows the top half of our financial report. The budget table summarizes funding received on the speedtype, actual expenditures, and future projections that are included on the report. The report also shows the 3, 6, and 12-month burn rates for the speedtype.

CIRES financial reports are also used by the CIRES finance manager to manually enter planned upcoming costs, in coordination with the PI and project teams.

Forecasted expenditures are reviewed by the CIRES finance manager monthly to confirm accuracy and relevance for project spend planning. Forecasted expenditures are updated or removed based on the recent financial activities reviewed by the CIRES finance manager during the reconciliation process (Fig. 11).

Reporting

For the CIESRDS award, the financial reports reflect funding information entered by the CIRES finance manager in the Advanced Reporting System. Expenditure information on the financial reports is retrieved from the CU accounting system monthly, after CU processes the formal monthly close. Detailed information on planned future expenditures is retrieved from additional internal CIRES applications and can be entered directly by the CIRES finance manager. The CIRES finance manager reviews, updates, and reconciles the financial reports monthly to ensure accuracy.

Financial Reports (Internally referred to as HOPE reports)

The financial report (Fig. 12) identifies several key markers for spend planning:

- Available Balance (To-Date Funding less To-Date Expenditures)
- Anticipated Available Balance for direct costs (Direct cost share of the Available Balance less Future Expenses)
- Last 3, 6, and 12 Months Average Expenses
- Estimated consumption date for current funding (Available Balance divided by prior 3-month average monthly expenses)

The Sub-Project Overview summarizes financial information for each sub-project that is set up under a Task II Project/Speedtype, including information on the total sub-project funding to date, expenses linked to the sub-project to date, sub-project available balance, sub-project funding consumption level, and months remaining in the sub-project period of performance (Fig. 13).

Sub-Project Overview						
Name	Speedtype	Total Funding	Expenses to Date	Available Balance	% Spent to Date	Months Remaining
COASTAL AD	13019965	\$391,233	\$516,200	\$35,038	90.6%	9.33
DOS ECR	13019965	\$2,183,312	\$1,419,109	\$764,203	65.0%	9.33
DSC	13019965	\$90,453	\$70,129	\$20,324	77.5%	9.33
ETORO	13019965	\$24,438	\$24,021	\$417	98.3%	Ended 11/30/2022
HAZARDS	13019965	\$2,232,678	\$1,768,217	\$474,461	78.7%	9.33
MGG Base - Data	13019965	\$17,595	\$17,779	\$(183)	101.0%	Ended 09/30/2022
MGG Base - OSD	13019965	\$77,352	\$42,465	\$34,886	54.9%	9.33
MGG Base - GIB	13019965	\$58,671	\$26,161	\$32,488	44.6%	9.33
MGG Base - JMLDS	13019965	\$14,101	\$13,242	\$859	93.5%	Ended 11/30/2022
MGG Base - JMB	13019965	\$63,539	\$63,021	\$517	99.2%	Ended 12/31/2024
MGG Base - Water Level	13019965	\$349,465	\$259,587	\$89,778	74.3%	9.33
NOS - DCDB	13019965	\$844,923	\$499,889	\$345,250	59.3%	9.33
NOS - OCS	13019965	\$73,338	\$50,320	\$23,018	68.6%	9.33
DAR ECR	13019965	\$53,094	\$46,860	\$6,234	88.3%	9.33
Ocean Acoustics	13019965	\$2,214,212	\$1,476,573	\$737,540	66.7%	9.33
OCR DM	13019965	\$1,858,574	\$1,268,648	\$589,926	68.3%	9.33
Software Development	13019965	\$1,980,967	\$1,562,517	\$417,750	78.9%	9.33
NOS-Hydro	13019965	\$264,059	\$191,506	\$72,554	72.5%	9.33
USOS IAA	13019965	\$52,786	\$54,110	\$(1,324)	102.5%	Ended 09/30/2024
OASIS	13019965	\$72,079	\$40,112	\$31,967	55.6%	9.33
WOD	13019965	\$0	\$0	\$0	-	9.33
Ocean Video AI	13019965	\$244,904	\$126,565	\$117,941	51.8%	9.33
General	13019965	\$0	\$0	\$(0)	-	End of Award
Total:		\$13,120,478	\$9,328,837	\$3,791,640		

FIG. 13: This screenshot shows the section of the monthly project report that gives an overview of subprojects on the speedtype.

Search Filters

Select Project/Program: [Filter On](#)

Select Sub-Project:
☐ Combine Identical Names ⓘ

Start Date (Fiscal Year):
 First Day of:

End Date (Fiscal Year):
 Last Day of:

[Search](#) [Clear](#)

CSV Excel Search:

Project #	SubProject	Name	Mon F FY	FTE	Dist %	Person Months %	Salary	Fringe Benefits	Tuition Waivers	Operating	Travel	Fixed Assets	Direct Cost	22% IDC (F&A)	Total Costs (Direct +22% IDC)
Page Totals:						0.32	\$2,731.46	\$1,114.43					\$3,845.89	\$846.10	\$4,691.99
1562755 (13010665)	COASTAL Act		Sep. 2025	1	17.64%	0.18	\$1,599.08	\$636.10					\$2,195.18	\$482.94	\$2,678.12
Totals:						0.18	\$1,599.08	\$636.10					\$2,195.18	\$482.94	\$2,678.12
1562755 (13010665)	COASTAL Act		Sep. 2025	1	54%	0.54	\$1,172.38	\$478.33					\$1,650.71	\$363.16	\$2,013.87
Totals:						0.54	\$1,172.38	\$478.33					\$1,650.71	\$363.16	\$2,013.87
Page Totals:						0.32	\$2,731.46	\$1,114.43					\$3,845.89	\$846.10	\$4,691.99

Advanced Reporting System Report: Employee Report

FIG. 14: This screenshot is an example of an Employee Report. Once all expenditures are linked, we can run reports by speedtype and/or subproject that shows costs by person. FIG. 16: This screenshot is an example of a monthly subproject report. Very similar to the monthly project report, we are able to run a more detailed report of each subproject within a speedtype. This report shows the overall budget table as well as burn rates.

Sub-Project Report: COASTAL Act

Award: NA22OAR4320151

Principal Investigator: Waleed Abdalati

Sponsor: NATL. OCEANIC AND ATMOSPHERIC ADMINISTRATION

Speedtype: 13019965

Project Number: 1562755

F&A Rate: 22%

COASTAL Act

Financial Report as of September 30, 2025

Start Date: 09/01/2022

End Date: 08/31/2026

Overview

	Total Funding	Expenses to date	Available Balance
COASTAL Act	\$351,239	\$318,200	\$33,038

Expense Breakdown

	Total Funding received	Monthly Actuals	To Date Actuals	% Spent to Date	Available Balance	Future Expenses		
						Salary, Travel, Operating	Other Projections	Anticipated Available Balance
Amendment Funding	\$351,239	\$0	\$0	-	\$351,239	\$0	\$0	\$351,239
400000 - 410399 – SALARIES AND WAGES	\$0	\$2,731	\$185,166	-	\$(185,166)	\$0	\$0	\$(185,166)
410400 - 439999 – BENEFITS	\$0	\$1,114	\$72,342	-	\$(72,342)	\$0	\$0	\$(72,342)
422410 - 422431 – TUITION & MANDEES ⓘ	\$0	\$0	\$0	-	\$0	\$0	\$0	\$0
450000 - 699999 – OPERATING EXPENSES	\$0	\$0	\$824	-	\$(824)	\$0	\$0	\$(824)
700000 - 709999 – TRAVEL	\$0	\$0	\$2,488	-	\$(2,488)	\$0	\$0	\$(2,488)
770000 - 772499 – STUDENT AID	\$0	\$0	\$0	-	\$0	\$0	\$0	\$0
810000 - 812499 – FIXED ASSET COSTS	\$0	\$0	\$0	-	\$0	\$0	\$0	\$0
Total Before F&A	\$351,239	\$3,846	\$260,820	-	\$90,419	\$0	\$0	\$90,419
950000 - 952499 – FACILITIES & ADMIN COST (22%)	\$0	\$846	\$57,300	-	\$(57,300)	\$0	\$0	\$(57,300)
Total	\$351,239	\$4,692	\$318,200	90.6%	\$33,038	\$0	\$0	\$33,038

Burn Rate

Last 3 Months Average Expenses: \$4,691

Estimated consumption date for current funding: 05/02/2026 (7.13 months) ⓘ using last 3 month average ⓘ

Last 6 Months Average Expenses: \$4,594

Last 12 Months Average Expenses: \$4,115

Report Access

Fig. 15: For the CIESRDS award, access to financial and Advanced Reporting System reports is made available to the CIRES team lead for the CIESRDS lab/center, as well as NOAA budget analyst personnel from the lab/center. Central salary database reports reflecting salary allocation plans are also available for NOAA budget analyst personnel. Reports can be accessed in real-time by those with access; archived versions of prior reconciled reports are also available to those with access.

Appendix D: Federal Financial Report

FEDERAL FINANCIAL REPORT

1. Federal Agency and Organizational Element to Which Report is Submitted				2. Federal Grant or Other Identifying Number Assigned by Federal Agency			
National Oceanic and Atmospheric Administration (NOAA)				NA02OAA00000001010101			
3. Recipient Organization (Name and complete address, including ZIP code)							
UNIVERSITY OF COLORADO AT BOULDER 2000 Marine World Avenue West Boulder, CO 80501-0001							
4a. UFI Number 0PAC00000000		4b. UFI 00-00000000		5. Recipient Account Number or Identifying Number		6. Report Type ☐ Quarterly ☒ Semi-Annual ☐ Annual ☐ Final	
7. Basis of Accounting ☒ Cash ☐ Accrual							
8. Reporting Period Start Date 09/01/2000				9. Reporting Period End Date 08/31/2000			
10. Transactions				Cumulative			
(See lines 10a for single or multiple period reporting)							
Federal Cash (To report multiple grants, also use FFI attachments)							
a. Cash Receipts				\$100,000,000.00			
b. Cash Disbursements				-\$100,000,000.00			
c. Cash on Hand (See instruction 6)				-\$100,000,000.00			
(See lines 10a for single period reporting)							
Federal Expenditures and Unobligated Balances							
d. Total Federal funds authorized				\$100,000,000.00			
e. Federal share of expenditures				-\$100,000,000.00			
f. Federal share of unobligated obligations				\$0.00			
g. Total Federal share (sum of lines e and f)				-\$100,000,000.00			
h. Unobligated balance of federal funds (line d minus g)				100,000,000.00			
Recipient Share							
i. Total recipient share required				\$0.00			
j. Recipient share of expenditures				\$0.00			
k. Remaining recipient share to be provided (line i minus j)				\$0.00			
Program Income							
l. Total Federal program income earned				\$0.00			
m. Program income expended in accordance with the debarment alternative				\$0.00			
n. Program income expended in accordance with the addition alternative				\$0.00			
o. Unexpended program income (line l minus line m or line n)				\$0.00			
11. Indirect Expenses	a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
g. Totals						\$0.00	\$0.00
12. Remarks: Attach any explanations (desired/necessary) or information required by Federal sponsoring agency in compliance with governing legislation							
a. Drawdown was completed in April for March for the cash balance of \$44,440,000.00 in 100.							
13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)							
14. Typed or Printed Name and Title of Authorized Certifying Official						c. Telephone (Area code, number and extension)	
Gordon Lee GRANT ACCOUNTANT						d. Email address gordon.lee@colorado.edu	
15. Signature of Authorized Certifying Official						e. Date Report Submitted (Month, Day, Year) 04/25/2000	
						16. Agency use only	
						Approved by Grant Manager Date Report Approved: 10/03/2000	

Standard Form 228
OMB Approval Number
0304-0004
Expiration Date
03/01/2002

FIG. 16: An example of a Federal Financial Reports that is submitted by Research Financial Services in the CU Boulder Campus Controller's Office via eRA Commons on behalf of the cooperative institute.

Appendix E: CIESRDS Strategic Plan



CIESRDS

Cooperative Institute for Earth Systems Research and Data Science
UNIVERSITY OF COLORADO BOULDER

CIESRDS Strategic Plan

NA22OAR4320151 funds the CIESRDS grant, managed by CIRES at CU Boulder, and supports research and collaboration with NOAA.

Given the structure of CIESRDS, the strategic plan is a living document that will be revised continually to incorporate any new guidance or directives with each new award period. Below are the current strategic imperatives developed out of the current cooperative agreement.

- 1. Conduct high-quality Earth system research and data science in collaboration with and service to NOAA to support society's resilience to environmental change.**
 - a. Support a comprehensive series of integrated research programs to produce world-class Earth system research and data science that is in service to society, and close collaboration with NOAA.
 - b. Collaborate with NOAA to develop annual science plans that ensure our research agenda remains ambitious, innovative, and achievable, and that it aligns with the current priorities of our NOAA partners.
 - c. Be flexible as Earth system research and data science needs evolve, CIESRDS will respond, both through our collaboration with NOAA and through other sources of external funding that complement our NOAA portfolio.
 - d. Be highly connected to Colorado's collaborative Earth system research and data science community; this research network enables quick response to needs and efficient use of federal and other resources.
- 2. Train and inspire a diverse and skilled future Earth system and data science workforce for NOAA and beyond.**
 - a. Support robust workforce development programs to promote excellence while inspiring engagement, innovation, collaboration, and leadership at all levels.
 - b. Work to ensure a positive and healthy culture at CIRES and incorporate CU Boulder's Inclusive Excellence elements into our systems and practices across the organization.
 - c. Support the professional development of Graduate Students and Post-docs with training, fellowships, travel and meeting support, mentoring, networking, and other programs.



CIESRDS

Cooperative Institute for Earth Systems Research and Data Science
UNIVERSITY OF COLORADO BOULDER

- d. Improve the current and future research enterprise through postdoctoral and visiting scientist programs.
- e. Employ and mentor undergraduate students through multiple programs and initiatives.
- 3. Grow Earth system research and data science literacy in learners of all ages.**
 - a. Connect NOAA and CIRES/CIESRDS-funded science with educators, learners, communities, and future scientists.
 - i. Work closely with NOAA to provide content for various outward-facing sites and resources.
 - ii. Promote and strengthen scientific and environmental literacy by engaging communities.
 - b. Encourage media coverage of our science.
 - i. Work with NOAA, CU Boulder, and other partners to assist the media, policymakers, scientific colleagues, and funders in understanding the value of earth system research and data science carried out by NOAA and CIESRDS.
 - c. Improve public understanding of science.
 - i. Enhancing scientific and environmental literacy utilizing Science On a Sphere and improving understanding, value, and weather and water information through services to the public and the K-12 education community.
 - ii. Support external communication to enhance public education.
- 4. Provide the robust scientific and administrative infrastructure to run a cooperative institute cost-effectively, to successfully fulfill NOAA's needs and objectives.**
 - a. Hire and retain a robust administrative support network that serves CIESRDS scientists and NOAA partners at NOAA facilities.
 - i. Provide professional development opportunities, onboarding, town halls, and access to CU campus community groups and wellness resources.
 - ii. Provide mentoring programs that further connect CIESRDS/CIRES scientists and NOAA partners.
 - b. Enhance communication between CIESRDS, CIRES, and NOAA
 - i. Participate in the NOAA CI Directors Executive Committee and CI Directors and Administrators annual meetings.
 - ii. Lead the formation and organization of a CIESRDS Executive Board made up of both CIESRDS and NOAA representatives.
 - c. Provide high-quality pre-and post-award administration support services.
 - i. Work in partnership with CU Boulder's Office of Contracts and others to ensure compliance with all applicable federal, state, and funding agency regulations, and university policies, as well as award terms and



CIESRDS

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conditions.

- ii. Monitor all expenditures to ensure they are compliant, reasonable, allowable, and allocable to the project.
- iii. Effectively manage the pursuit of funding opportunities that further serve the interests of NOAA and the cooperative agreement.