

U.S. IOOS[®] Guidance on Reporting Regional Progress (revised November 2018)

The U.S. IOOS Program Office (hereafter “Program Office”) is required to evaluate its funded activities in accordance with law, Department of Commerce policy, and NOAA policy. This document clarifies the content, process, and timelines for required reporting by U.S. IOOS grant and/or cooperative agreement award recipients.

The IOOS Program Office requires Program Performance Reports (PPRs) to be completed on June 30 and December 30 each year. We also require supplemental information which will be reported as an addendum to the PPRs. This document defines the content requirements of the PPRs and supplemental information. The Program Office will use the reports to document our investments in the regional observing systems. We will revisit this guidance periodically if reporting needs or other factors change.

I. Performance Progress Reports

Performance Progress Reports (PPR) are a Department of Commerce requirement for federal financial assistance as codified in 2 CFR Part 200.328. PPRs allow the Program Office to:

- track progress against milestones and deliverables in our cooperative agreements
- stay informed about successes and problems
- anticipate upcoming administrative actions
- report on system-wide capacity.

As required by 2 CFR Part 200.328, progress reports shall document:

- a comparison of actual accomplishments to the objectives (milestones and deliverables) of the Federal award established *for the reporting period*
- expenditures commensurate with the actual accomplishment of goals and objectives defined for the reporting period
- reasons why established goals were not met, if appropriate
- additional pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

Award recipients are responsible for monitoring each project, program, sub-award¹, function or activity supported by the award. Due dates for all progress and financial reports are in set out in

¹ Information on sub-award reporting is available online at: <https://www.fsr.gov/>

the terms and conditions of the awards. For additional information refer to the Grants Online Training pages for recipients:

http://www.corporateservices.noaa.gov/grantsonline/gol_training_GRANTEE.htm

NOAA Administrative Standard Award Conditions, section C, identifies the federal program officer as the authority on the acceptable form and content of progress reports. The Program Office requires that progress reports:

- are limited to 10 pages (the office reserves the right to return progress reports that exceed the page limit)
- clearly identify the NOAA award number
- clearly identify the reporting period
- be submitted through the Grants Online system
- are submitted no later than 30 days following the end of the reporting period to avoid suspension of the recipient's ASAP account
- address the items outlined below
- report only on progress and accomplishments of the funded activity for the 6-month reporting period.

Progress reports shall include the following sections:

1) Progress and Accomplishments

Describe progress and accomplishments for the current reporting period, including quantitative data when available. Include a list of project milestones. For each milestone that was scheduled for completion during the reporting period (example follows):

1. Provide a short description of the milestone (1 sentence).
2. Identify the original planned completion date
3. Provide the status for each milestone that was 1) scheduled for completion during the reporting period; 2) scheduled for completion in a future reporting period but effort was required during the reporting period to meet the future deadline; and 3) scheduled for completion in a previous reporting period, but schedule slipped into this reporting period.

Status should be provided with one of the following indicators:

- a. "Complete" and 'date of completion';
 - b. "On-Track"; or
 - c. "Delayed" and 'anticipated date of completion.
 - i. If the milestone is delayed, a justification for the delay must be provided along with a new completion date and description of activities employed or to be employed to mitigate the delay.
4. Provide a summary of any additional activities not mentioned above, that highlight regional observing system successes.

Milestone Reporting Example:

Deploy buoy X; Original Completion date: May 2015

Status: Delayed – PI was coordinated with R/V X to deploy the buoy at the end of May. However, a coastal storm prevented the deployment on the scheduled date. PI is working with the institution to re-schedule the deployment. Expected deployment is now early July 2015.

2) Scope of Work

Indicate if you anticipate any substantive changes to the project Scope of Work (SOW). If you do not anticipate substantive changes, proceed to Section 4.

For anticipated substantive changes to the SOW, describe current or anticipated changes to 1) the scope of work or 2) the ability to achieve milestones and deliverables (due to problems encountered, improved approach, etc.). Note that a change or addition of work elements not contained in the original application may require a request to NOAA to approve the change or addition. Describe issues that hamper progress as proposed.

3) Personnel and Organizational Structure

Include changes in key scientific, technical or management personnel. Include changes to the organizational structure such as: changes in status or partners organizations and points of contact. As a reminder, a change to the award's Principal Investigator and a change in an award's Key Person Specified in the Application requires NOAA approval through Grants Online. Guidance for both these Award Action Requests is available on Grants Online at http://www.corporateservices.noaa.gov/grantsonline/Documents/AAR_Assistance/Recipient_AA_R_Help.htm

4) Budget Analysis

Provide a comparison of planned versus actual expenses and identify risks to the project, if any. If risks are identified, provide a plan to mitigate them accordingly. Cash on hand greater than \$5,000 or less than -\$5,000 requires an explanation. Ensure that financial reports are up to date and report that information in this section.

As required by 2 CFR Part 200.328, progress reports shall document other pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs. Progress reports shall also describe any property or equipment charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit

during the period.

II. Performance Progress Report Addendum

All Regional Associations (RAs) shall submit an addendum to their December PPR. The addendum is limited to five pages of text (in addition to the ten-page maximum for the PPR) and should include the following information.

In the December progress report, the addendum should include:

- Confirmation that the Education and Outreach Inventory has been updated. The Inventory is to be updated once per year. This Inventory, developed with the IOOS Association Education and Outreach Committee, is a spreadsheet located at the IOOS Cloud for Collaboration:
<https://sites.google.com/a/noaa.gov/iooscloud/education-outreach>
For access rights, please contact the IOOS Webmaster:
<mailto:noaa.ioos.webmaster@noaa.gov>
- Data Management, Products, and Services
 - DMAC is the framework for RA ingestion, management, and publication of digital data sets. These data sets can be generated by observing system assets, numerical models, or through any other process that results in a value added product. The specific requirements for DMAC participation are described at <https://ioos.noaa.gov/data/contribute-data/>. Each section contains specific requirements that, when implemented, provide the standards based foundation for DMAC capabilities. Progress and challenges toward addressing each requirement should be described following the section headings on the web site above.
- Observing Assets
 - Utilize the master RA Observing Asset Inventory provided by the Program Office to report updates.

What to include in this inventory:

- 1) Stationary observing systems that are/were operating at any time during the calendar year (Jan 1 - Dec 31).
- 2) Stationary observing systems that are exposed through one or more web services implemented by the RA. The asset must be discoverable through the IOOS Catalog. This includes:
 - Assets for operations or research purposes as long as the data are publicly disseminated.
 - Non-RA-funded stations operated by a local data provider (i.e. the RA only)

has a data management/stewardship role). For these non-RA stations, if the platform funder and/or maintainer is not known then indicate that in the 'notes' field.

- Any federal stations that are supported (funded, operated, and/or maintained) by the RA (e.g. CDIP buoys, NERRS stations).

What NOT to include:

Assets that are not publicly served/disseminated by the RA (e.g. assets used only for internal purposes).

- Federal stations that are solely owned, operated, maintained, and funded by the federal group (i.e. the RA has no involvement in the operations).
- Servers, vehicles used to deploy/conduct maintenance, a laboratory, etc.
- HF Radar and Gliders, since these inventories are already captured separately.

Guidance on fields:

- **WMO ID/CMAN ID:** These IDs are required for delivery to NDBC, who then repackages the data and delivers to the Global Telecommunication System. If there is no ID assigned (e.g. if a local provider refuses this service) then indicate why in the notes section or risk pushback during the Progress Report review.
- **Station Deployment:** There are 4 options provided. The goal is to understand if the operational longevity of the station.
- **Funder vs Operator/owner vs Maintainer:** These fields likely overlap, especially Operator and Maintainer. The point of these fields is to characterize who is involved in supporting the operations of the station. Particularly, the level of the RA's involvement.
 - **Platform Funder/Sponsor:** Intended to be the *current* funder/sponsor - the group that pays for the continued operations of the station. e.g. if an RA receives grant money and decides to spend that on a station then the RA is the funder. If this field is unknown (for a non-RA station) then indicate this in the notes.
 - **RA Funding Involvement:** If a station is 90% funded by the RA then this is still considered partial (Yp). If you want to indicate this high level of involvement then include that information in the notes field. RA funding is not limited to funds coming into the RA from the IOOS grant. This can be from any source.
 - **Variable names:** CF standard names are required to ensure submissions are consistent. See <http://cfconventions.org/standard-names.html> and choose "html" for the latest version. If CF names aren't available, then the IOOS Parameter Vocabulary must be used. Depths are requested in

parentheses following the variable name. See examples in the template.

- o High Frequency Radar Operations and Maintenance progress: Each institution operating radars must provide annual update on expenditures using the template located at: <https://ioos.noaa.gov/about/funding-opportunities/#guidance>. Each institution operating radars will be required to provide an annual update on HF radar assets and staffing. See the document located at: <https://ioos.noaa.gov/about/funding-opportunities/#guidance>
- o Confirm and/or update the annual Glider Days Inventory using the template at <https://ioos.noaa.gov/about/funding-opportunities/#guidance>. The IOOS Program will provide each RA with the latest output from the Glider DAC in the first week of December. If all days are accounted for in the DAC, no report is necessary. This is a calendar year review, so please estimate remaining days for the year based on planned deployments and date of your report.

III. Environmental Compliance

Federal funds cannot be expended on any vessel operations, glider or buoy deployments, HF radar, sensor or mooring installations or other activities without an evaluation of consequences to the environment in accordance with the IOOS draft Programmatic Environmental Assessment and the mitigation measures identified therein. In addition, activities conducted with NOAA/IOOS funding shall give consideration to and be compliant with the National Environmental Policy Act (NEPA), Marine Managed Areas (MMA), Endangered Species Act (ESA), Magnuson-Stevens Fishery Conservation and Management Act (MSA), National Marine Sanctuaries Act (NMSA), Clean Air Act, Clean Water Act, Marine Mammal Protection Act (MMPA) or any other regulatory oversight entities that collaborate with NOAA such as the State Historic Preservation Office or National Wildlife Federation.

Award recipients should refer to the Special Award Conditions in their cooperative agreements for details about environmental compliance reporting requirements. Copies of all impact statements, assessments, licenses or permits obtained shall be submitted to Program Office for input into the recipient's official file in Grants Online. Recipients shall complete the template provided by the Program Office via email before any assets are deployed, installed or launched.

IV. Questions?

Please contact the appropriate regional point of contact (POC) or the grants specialist with questions or comments:

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