CIMSS
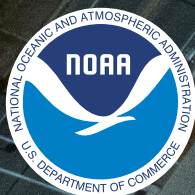
Cooperative Institute for
Meteorological Satellite Studies
Five Year Administrative Review
July 2020 – May 2024

NOAA
NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION
U.S. DEPARTMENT OF COMMERCE

CIMSS

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Cooperative Institute for Meteorological Satellite Studies
NOAA Administrative Review
May 8th 2024

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Administrative Overview
The Cooperative Institute for Meteorological Satellite Studies (CIMSS) is housed within the Space Science and Engineering Center (SSEC), which is an internationally recognized research center within the Office of the Vice Chancellor for Research (OVCR) at the University of Wisconsin–Madison (UW–Madison). CIMSS was founded in 1980, and has continued as a NOAA Cooperative Institute, with the most recent recompete occurring in 2020.

The CIMSS Leadership Team is led by Professor Tristan L'Ecuyer (Director) and Wayne Feltz (CIMSS Deputy Director), along with input from the SSEC Leadership Team. The SSEC Leadership team is led by Dr. R. Bradley Pierce (Director), Mark Mulligan (Executive Director and Associate Director of Engineering), Chelsea Dahmen (Administrative Director), and Wayne Feltz (Associate Director of Science and CIMSS Deputy Director).

SSEC maintains a strong administrative structure that supports researchers in SSEC, CIMSS, and across campus. In addition to administrative support, SSEC also provides research support in several areas, including:
- Technical Computing,
- Satellite Data Services, and
- Communications and Website Design.

The SSEC administration team is led by the Administrative Director, and provides support in the following areas (Appendix A, SSEC Administrative Staff):
- Proposals,
- Award Management,
- Purchasing,
- Travel,
- Property Control,
- Human Resources,
- Library,
- Advancement (Fundraising, Development), and
- Administrative Software Management.

As part of SSEC, CIMSS follows policies and guidelines from OVCR and UW–Madison, including working closely with UW–Madison's Research and Sponsored Programs Office (RSP) to ensure successful management of grants and contracts.

Proposal Process (Pre-Award)
Potential projects are identified through interactions with NOAA funding sponsors. CIMSS Leadership reviews the potential projects to determine if adequate resources are available to complete the research, and whether the project meets one of the CIMSS research themes criteria. If adequate resources are available and the project fits into one of the research themes, the task lead is informed they can begin the proposal process.

Once it is determined that a proposal will move forward, and it has received a science review from the CIMSS Deputy Director, SSEC Research Administrators review the proposal for compliance and accuracy, prepare the budget according to University and Federal guidelines, and create the record in

UW–Madison's Research Administration Management Portal (RAMP). The proposal and budget documents are routed to OVCR Research Services office for review and approval, before being sent to RSP for final review and formal submission by an Authorized Official (Figure 1).
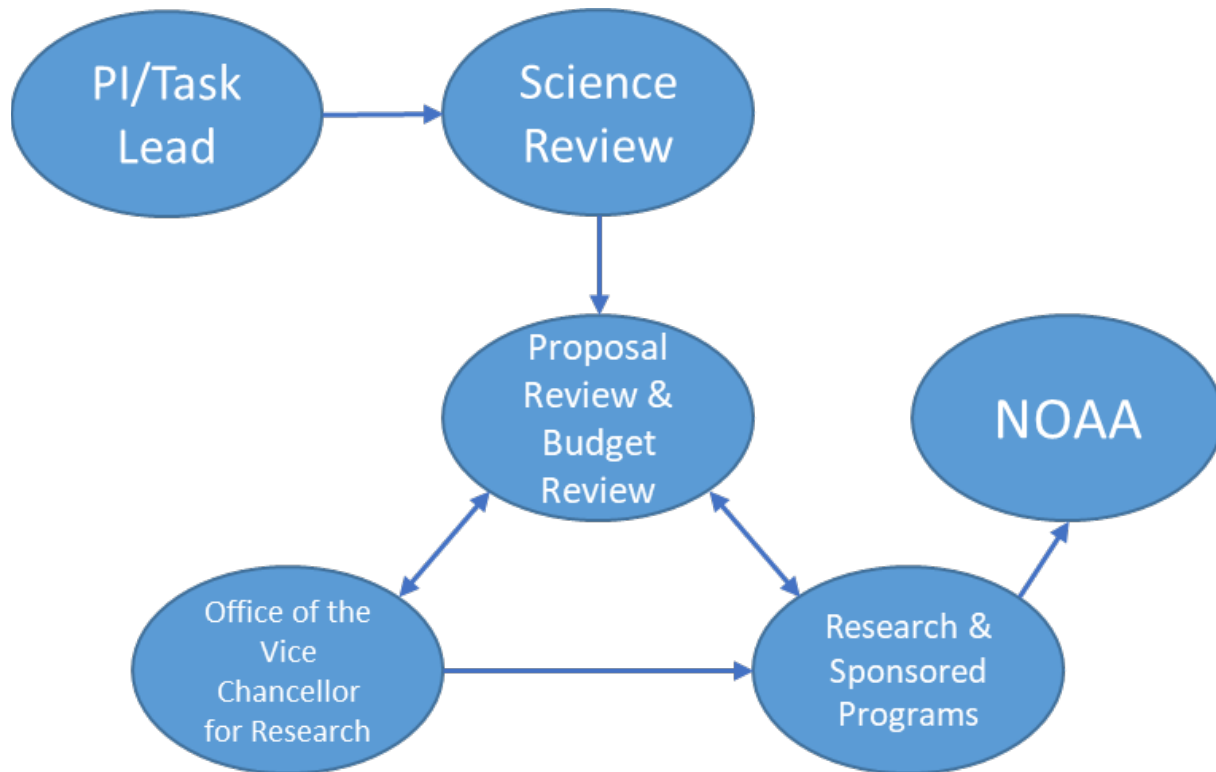

Figure 1: Proposal Submission Process.

Award Management (Post-Award)
UW–Madison utilizes PeopleSoft enterprise resource planning as the primary system for accounting and financial management of grant funding. An overview of UW–Madison's Financial Systems can be found at https://businessservices.wisc.edu/accounting/how-to-use-uw-madisons-financial-systems/. Internal controls are a key aspect of every fiscal transaction and policy, with multiple layers of checks and balances. Grant funds are assigned one award number and at least one project number to establish a financial account for grant budget, expenditures, and the recording of revenue. Establishing a grant award requires department, division, and RSP review and approvals before the RSP award set up team will proceed in setting up the award within the Shared Financial System (SFS) module of PeopleSoft. Once the award is established, expenditures can be incurred against the award in accordance with UW–Madison payroll, effort, and procurement procedures. These processes are designed for compliance with 2 CFR 200 and award terms, with layers of oversight between department, division, and central administrative office(s).

For each funded CIMSS task, SSEC has a four-digit internal project number, and all grant related activities tie to this SSEC project number as well as the UW–Madison project ID. All activities, such as purchasing and travel, are reviewed and approved by the PI on formal internal request forms. The SSEC Administrative Director approves the request for purchases over $5,000 and all travel after a final review.

The SSEC ancillary accounting system allows for monthly accounting reconciliation using the UW–Madison Shared Financial System (SFS) data. The monthly SSEC accounting reconciliation starts after

the UW monthly accounting period is closed. SSEC downloads all direct charges that have posted to the UW SFS system, reconciles charges in the ancillary system, enters the monthly labor expenses, and posts labor expenditures to UW SFS system via Journal Entry Tool (JET) transfer.

Administrative Evaluation Review Questions
1. **Proposal procedures: What is the CIs process for selecting proposals to request funding from NOAA? What procedures are in place to request proposals by theme or task? How PIs are kept informed of the proposal process, and how are success criteria shared within the CI?**
The primary avenue for identifying and supporting CIMSS grant opportunities is through direct interaction with NOAA funding sponsors or other agencies. Once a scientific research opportunity (or continuation) is identified, a proposal, budget, and narrative are written and submitted via the CIMSS Cooperative Agreement Federal Opportunity grant submission proposal number. The CIMSS CI process for identifying NOAA directed (and sometimes internally competitive) cooperative institute funding opportunities flow from communication with NOAA sponsors or CIMSS PI or Task leads partner coordination (locally or with NOAA research centers). Applicable CIMSS resources are reviewed to determine if they are sufficient for the specific funded projects prior to proposal submission.

Each submitted NOAA CIMSS proposal identifies the NOAA-CIMSS theme and task topics:
CIMSS Research Themes
<table>
<tr><td>Theme 1.</td><td>Satellite Meteorology Research and Applications</td></tr>
<tr><td>Theme 2.</td><td>Satellite Sensors and Techniques</td></tr>
<tr><td>Theme 3.</td><td>Environmental Models and Data Assimilation</td></tr>
<tr><td>Theme 4.</td><td>Education and Outreach</td></tr>
</table>

CIMSS Tasks
<table>
<tr><td>Task I:</td><td>Administrative Activities – CIMSS Management, Education, Outreach</td></tr>
<tr><td>Task II:</td><td>Research involving direct collaboration with NOAA scientists, including research collaborations with locally stationed NOAA scientists</td></tr>
</table>

Task 1 funding is used to support education (scholarships, graduate student research assistantships, undergraduate internships, visiting faculty/scientists), outreach (science camps for students and families, communication), and administration (internal/domestic effort management of CIMSS). In addition, some innovative projects are provided seed funding from SSEC resources to support initial research activity "startups." Many of these efforts subsequently lead to fully funded proposals or provide the necessary infrastructure to support successful proposals.

CIMSS scientists have numerous formal and informal methods to exchange ideas and identify new or continuing grant opportunities. A sample of these methods is listed below:
- Many CIMSS PIs have strong partnerships with NOAA collaborators who work together to identify new scientific research opportunities and directions.
- There is an annual building wide poster session held in the spring where collaborations are discussed and ideas exchanged.
- CIMSS conducts monthly PI and science topic meetings to discuss broad program issues, student recruitment, proposal opportunities and other issues.
- At CIMSS Seminars, individual PIs and visitors give presentations of their research work, which enables other researchers to offer suggestions or to identify opportunities for collaboration. These seminars allow extended discussion on scientific opportunities.
- CIMSS scientists travel to present papers at conferences and attend workshops, both nationally and internationally. These face-to-face interactions are excellent sources of

new ideas and often lead to collaborations.

- Many CIMSS scientists are on mailing lists for agency announcements of opportunity.
- The SSEC library sends out a regular list of proposal opportunities.
- The Web site http://www.grants.gov provides online information on research opportunities.

CIMSS PIs are informed of proposal construction deadlines, submission status, and funding acquisition by the CIMSS Deputy Director and SSEC research administration staff. Grant award success criteria are shared through the form of CIMSS award presentations, peer reviewed publication successes, and performance review feedback (including promotion justification).

2. **How does the CI/University/Institution ensure compliance with Federal laws and regulations, Department of Commerce regulations, NOAA standard, and specific grant Conditions?**
Proposals are submitted by SSEC Research Administrators via the Research Administration Management Portal for internal review by PIs, the SSEC Administrative Director, the OVCR Research Services staff, and the RSP Proposal Team. The proposals are checked for compliance at all levels by staff with training and experience in the requirements for NOAA proposals prior to submission by an Authorized Official via eRA Commons.

To ensure costs are allowable and allocable, Research Administrators review award terms and conditions, as well as the budget, upon award, and continue to monitor expenditures during SSEC monthly account reconciliation. Additionally, all purchase and travel requests require PI approval, and the SSEC Administrative Director reviews and approves all travel requests and any purchases over $5,000. The SSEC purchasing and travel office ensures the travel or purchase meets UW–Madison policies, has a valid business purpose, and the purchasing/travel is allowable and allocable with the Administrative Director prior to booking or purchase.

Additionally, The SSEC Research Administration team works closely with OVCR and RSP staff to ensure compliance with Federal, DOC, NOAA and Grant requirements. UW–Madison's policies were developed to ensure compliance, and can be found here: https://rsp.wisc.edu/policies/.

Per 2CFR200.501, if a US entity (not including For-profits) spends more than $750,000 of federal funds in a given fiscal year, they must have a Single Audit completed by an independent auditor. UW–Madison's audit is completed annually by the State of Wisconsin Legislative Audit Bureau (LAB). The auditors are required to complete their work by March 31st of the year following UW–Madison's fiscal year, which ends June 30.

UW–Madison's Single Audit, Management Letter and Sponsored Agreement Info Letter can be found on the Frequently Used Data page under the section titled Budget Information.

Every year, LAB reviews clusters of federal funding to determine whether to designate them as "high risk" and whether they will audit a specific cluster. For example, in FY 2017, they designated the Research and Development (R&D) cluster as high risk and therefore audited the R&D cluster. In years that the auditors select R&D, a sample of grant expenditures will be tested for compliance with the Uniform Guidance principles. They will also test each compliance requirement as stated in the compliance supplement. Some of these requirements include Procurement and Suspension and Debarment, Period of Performance, Subrecipient Monitoring, and Reporting.

In addition, the SSEC Administrative Director and Research Administrators regularly communicate with NOAA administrators when issues or questions arise to ensure compliance.

3. **How does the CI/University/Institution ensure compliance with internal grant policies?**
Internal grant policies were developed to ensure compliance with Federal laws and regulations, Department of Commerce regulations, and State of Wisconsin laws and statutes. In addition to the above measures, UW–Madison ensures post-award compliance by conducting financial statement audits on an annual basis. The audit ensures financial statements are fairly stated, and looks at controls related to the preparation of financial statements, such as information system controls. Additionally, the Office of Internal Audit provides a mechanism for UW–Madison to monitor for potential violations of University policy. Additional information from the Office of Internal Audit can be found here: https://www.wisconsin.edu/offices/office-of-internal-audit/

4. **What are your formal and informal communication mechanisms between the CI and University/Institution administrative/finance offices? Who are the NOAA contacts (administrative & technical)?**
SSEC Administrative Staff use Microsoft Teams and email to communicate effectively with each other, task leads, CIMSS leadership, OVCR Research Services, and Research and Sponsored Programs to resolve issues efficiently. Additionally, SSEC Administrative Staff have weekly group meetings, frequent OVCR Research Administrators meetings, and RSP Research Education Development (RED) trainings and symposiums. Formal communication about specific proposals occurs through UW–Madison's Research Administration Management Portal (RAMP).

Communications with NOAA administrative and technical contacts typically occurs via email, and formal requests are submitted via eRA Commons as necessary. The main administrative contact at NOAA is Ericka Rosier. Technical contacts at NOAA vary for each task, depending on the research area and funding sponsor.

5. **How do you ensure compliance with university/institution human resources policies in such matters as hiring, resignations, promotions, salary scales, disciplinary actions, etc.? How are CI employees trained in HR issues based on university policy, such as:**
   a. **human dimensions/capital;**
   b. **student employment tracking upon graduation; and**
   c. **CI employee benefits (including retirement planning).**
CIMSS is supported by SSEC Human Resources Staff to ensure compliance with UW–Madison Human Resources policies on hiring, resignations, promotions, salary scales, disciplinary action, etc. SSEC's HR staff are trained in UW–Madison policies and HR best practices, and work closely with the Office of the Vice Chancellor for Research (OVCR) HR staff. UW–Madison's Human Resources website offers easily accessible information for employees on a wide-variety of topics:
   - Information for new employees, current employees, international employees, managers and supervisors, job seekers, and HR professionals;
   - Information on learning and growth, including equity, inclusion and employee well-being, professional development and campus communities;
   - Information on pay, including job titles and compensation, pay schedules, earnings statements, paychecks, and tax resources; and
   - Information on benefits, including managing benefits, paid and unpaid leave, health insurance and other insurance plans and saving accounts, and retirement.

SSEC utilizes the UW–Madison tools for human resources development, including the Recruitment Toolkit and the Professional Development guide. UW–Madison is committed to attracting, retaining, and rewarding a highly qualified and diverse workforce, both now and in the future. The university's job framework and total compensation program support and facilitate these important goals by:

- Encouraging excellence by rewarding individual contributions that support the university's mission and goals.
- Supporting competitive and equitable compensation practices through a job framework, salary structure and clear and flexible salary administrative guidelines.
- Establishing a foundation for career progression both within and across job groups and sub-groups.
- Developing a comprehensive benefit package that supports the well-being of our employees and is competitive and market informed.

UW–Madison has a market-informed title and salary structure to attract, retain, and reward employees as part of the Title and Total Compensation Project. Every university job has been assigned to a salary grade in the salary structure.

The Space Science and Engineering Center Leadership reviews employee pay three times a year; this includes reviews for bonuses, performance increases, parity adjustments, equity adjustments, and market adjustments (both retention and competitive adjustments). Part of the parity review involves reviewing the salary ranges of employees in the same title to ensure an appropriate range. When applicable, SSEC will request an adjustment for an employee following UW–Madison's Salary Administration Guidelines.

Upon hire, new employees are provided with the opportunity to attend a UW–Madison Benefits 101 class to learn more about the benefit options available as a UW–Madison employee. This class is also available to current employees. Additionally, within the center there are three staff that can answer questions regarding benefits and retirement (Administrative Director, HR Manager, HR Generalist) for employees at any time.

CIMSS works with degree granting programs at UW–Madison, such as the Department of Atmospheric and Oceanic Sciences, to be closely involved in the development of undergraduate and graduate students. By involving students in CIMSS research, the next generation of scientists receives hands-on training in the research process, from implementation to conclusion. Students working with CIMSS researchers are involved in group meetings and projects within active research teams to execute world-class research, while also being able to connect with NOAA scientists, while completing their degrees.

Post-degree, CIMSS has the ability to continue hands on training through research internships and post-doctorate research appointments. Many post-degree trainees continue on to become full-time research staff at UW–Madison, NOAA, or other research entities. The CIMSS Deputy Director tracks students on CIMSS projects, and leadership and task leads regularly interact with the students post-graduation.

Early career scientists, both post-degree trainees and new staff researchers, at CIMSS are supervised by experienced researchers who mentor them on how to write proposals, conduct research, write publications, and present at scientific meetings and conferences.

6. **What factors are considered when making the determination "CI employee?" Who supervises CI employees working in NOAA facilities? How is this implemented on-site and reported (e.g., leave and performance evaluations)? How does the CI maintain cohesive operations across campuses or locations? How are "Alternative work scenarios" handled?**
Any SSEC employee charging labor to a CI project is considered a CI employee. CI employees do not typically work in NOAA facilities, with the exception of one senior scientist. The employee located at a NOAA facility is supervised by the SSEC director, and UW–Madison policies regarding time reporting, leave, and performance evaluations are followed (for example, leave time is approved by the employee's SSEC supervisor, and performance evaluations are conducted by the SSEC supervisor in the UW–Madison performance evaluation system). Specific policies can be found in the UW–Madison Policy Library.

CI employees are located in the same building on the UW–Madison campus, with the exception to the above-mentioned individual, allowing the CI employees to interact closely with each other, and allowing CIMSS leadership and administrative staff to ensure UW–Madison policies and guidelines are being followed. UW–Madison has a Remote Work Policy governing alternative work scenarios, and SSEC has Remote Work Guidelines that follows the UW–Madison policy.

7. **Reports and requests to NOAA: How is the CI informed when the University/Institution formally sends financial and annual technical reports? How is this information transmitted within the CI?**
Financial reports and annual technical reports were previously submitted via Grants Online, but are now submitted via eRA Commons. The designated Research and Sponsored Programs (RSP) Accountant submits financial reports. The SSEC Research Administration team tracks technical report due dates, and ensures the PI submits the appropriate report. An institutional Authorized Official then completes final submission of reports.

8. **How are other formal requests to NOAA communicated between the CI, University/Institution (e.g., large equipment purchases, sub-grants)?**
Formal requests are submitted to NOAA via eRA Commons. The SSEC Research Administration team will work with the PI to enter the request into eRA Commons, and the Authorized Official at RSP will submit the request to NOAA.

9. **Demonstrate electronic communications (e.g., preparation of required financial reports from University/Institution fiscal data).**
UW–Madison utilizes PeopleSoft enterprise resource planning as the primary system for accounting and financial management of grant funding. An overview of UW–Madison's Financial Systems can be found at https://businessservices.wisc.edu/accounting/how-to-use-uw-madisons-financial-systems/. Internal controls are a key aspect of every fiscal transaction and policy, with multiple layers of checks and balances. Grant funds are assigned one award number and at least one project number to establish a financial account for grant budget, expenditures, and the recording of revenue. Establishing a grant award requires department, division, and RSP review and approvals before the RSP award set up team will proceed in setting up the award within the Shared Financial System (SFS) module of PeopleSoft. Once the award is established, expenditures can be incurred against the award in accordance with UW payroll, effort, and procurement procedures. These processes are designed for compliance with 2 CFR 200 and award terms, with layers of oversight between department, division, and central administrative office(s). The financial data in the financial system serves as the basis for preparation of required financial reports. It is also available to the SSEC Research Administration team for reconciliation of grant funds.

10. **What tracking systems does the CI have in place for publications, property, and intellectual property records? What are the obstacles to successfully implementing such a system?**
CIMSS publications are tracked by the Atmospheric, Oceanic and Space Sciences library. Notifications for new publications come from Web of Science and Google Scholar alerts set up for each CIMSS employee. Library staff check each new publication to ensure it was authored by a CIMSS employee before it is added to the library's database. The AOSS librarian can utilize this information to compile publications to be used for annual reports and bibliometrics.

Property is managed by the SSEC Department Property Administrator (DPA) per UW–Madison Property Control guidelines and policies. After capital equipment is received and billed, UW–Madison Property Control issues an asset tag (either UW or Federal) to be affixed to the asset. The location, responsible employee, and serial number are confirmed and added to the property record, maintained by UW–Madison Property Control. Physical inventories are completed by the SSEC DPA every two years for all capital equipment. In addition, SSEC maintains an auxiliary inventory database that records additional information including internal project numbers and specific server locations within our data centers.

Support for intellectual property issues are provided by the Office of the Vice Chancellor for Research (OVCR). UW–Madison researchers are required to disclose inventions created while carrying out research using any university funding or using university premises, supplies, or equipment. The OVCR is responsible for evaluating UW–Madison invention disclosure to determine who has rights to the invention as laid out by federal rules, contracts, or other obligations. In some cases, UW–Madison inventors may retain rights to their inventions or petition the federal government to obtain these rights. More information can be found on the invention disclosure page. If patenting and licensing is the determined next step after invention disclosure review, researchers work with the Wisconsin Alumni Research Foundation (WARF), a separate, not-for-profit, patent management and licensing office to finalize efforts. WARF provides royalty payments to UW–Madison inventors and also provides generous support to the campus and its many programs. For innovations that WARF protects, they maintain financial records related to intellectual property and licensing revenue.

11. **Can the CI facilitate a system's demonstration? Can the CI submit documentation in advance and be prepared to provide a live demonstration? How are a new project and its budget set up in the financial and monitoring system(s)? 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)? Cost tracking of Tasks I, II, and III, cost share (if applicable), indirect costs, and the cost reconciliation process?**
Yes, a demonstration of the UW and SSEC systems used for management of the Cooperative Agreement can be shared at the Administrative Review.

12. **Describe CI's progress towards its Diversity, Equity, and Inclusion Plan objectives including evidence-based and intentional programming activities to support diversity and a culture of inclusion. Describe efforts to:**
    a. **recruit to support a diverse and inclusive culture**
    b. **create the culture**
    c. **partner with Minority Serving Institutions, including Historically, Black Colleges and Universities, Hispanic Serving Institutions, and Tribal Colleges and Universities,**
    d. **demonstrate the equitable dissemination of research, results, products and services, and perform outreach activities.**

The University of Wisconsin-Madison values the contributions of each person and respect the profound ways their identity, culture, background, experience, status, abilities, and opinion enrich the university commitment. UW–Madison is committed to the pursuit of excellence in teaching, research, outreach, and diversity as inextricably linked goals, and fulfills its public mission by creating a welcoming and inclusive community for people from every background (Words taken from the campus diversity statement: https://diversity.wisc.edu/).

Specific examples of campus-wide Diversity Issues & Accountability are listed here: https://diversity.wisc.edu/issues/.

Incorporating experience, ideas, and opinions from a team with diverse backgrounds has profound benefits for advancing research. CIMSS is committed to increasing diversity within the CI, within the campus community, across NOAA, and in STEM fields in general. Our goal is to continue to build an inclusive environment, bring new perspectives on mentoring and educating students from diverse backgrounds, and incorporate diverse perspectives into our research.

Specific examples of activities CIMSS has been involved in are listed below:
- AOS Research Experiences for Undergraduates (REU) Summer Research Program: https://sites.google.com/wisc.edu/storm
- SSEC/CIMSS support of AOS faculty hiring initiatives—9 new faculty hired in 6 years (7 of which are women or under-represented minorities, or both)
- AOS AGU Bridge Program Partner—provides diverse undergraduates the opportunity to have an alternate, mentored pathway to graduate school admission: https://www.agu.org/bridge-program
- Building-wide (multi-department) participation in Unlearning Racism in Geosciences (URGE, https://urgeoscience.medium.com/unlearning-racism-in-geoscience-1f40aa32216e)
- Development of building-wide (multi-department) Code of Conduct, which also applies to embedded NOAA scientists: https://www.ssec.wisc.edu/about/code-of-conduct/
- WISELI (Wisconsin Inclusion in Science & Engineering Leadership Institute) Breaking the Bias Habit Workshop, offered to anyone in the AOSS building: https://wiseli.wisc.edu/
- Implementation of affinity groups (e.g., SSEC Women and Non-Binary group, Women in AOS, and the Oceanic, Atmospheric, and Space Sciences Inclusive Society (OASIS))
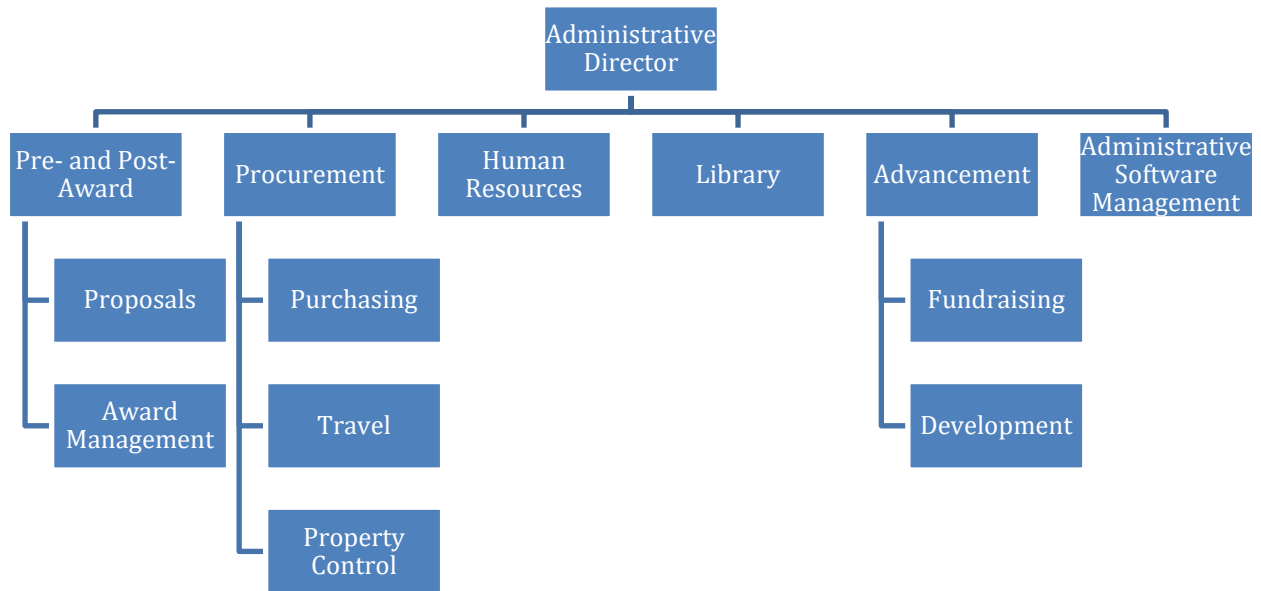- CIMSS Summer Workshop, CI Symposium (formerly known as the CoRP Symposium)

13. **Provide the current version of ASP.**
    See Appendix B.

14. **Provide the current version of the UA.**
    See Appendix C.

Appendix A: SSEC Administrative Staff Organizational Chart

Staff List

Name	Title	Area
Chelsea Dahmen	Administrative Director	Pre- and Post-Award (Proposals, Award Management), Procurement (Purchasing, Travel, Property Control), Human Resources, Library, Advancement (Fundraising, Development), Administrative Software Management
Angie Montgomery	Research Administration Manager	Pre- and Post-Award (Proposals-*Team Lead*, Award Management)
Wenhua Wu	Research Administration Manager	Pre- and Post-Award (Proposals, Award Management-*Team Lead*)
Tyler Plekan	Research Administration Specialist	Pre- and Post-Award (Proposals, Award Management)
Debbie Schroeder	Financial Specialist II	Pre- and Post-Award (Award Management)
Alaina Rustad	Financial Specialist III	Pre- and Post-Award (Award Management)
Melissa Steinl	Procurement Specialist	Procurement-*Team Lead* (Purchasing, Travel, Property Control)
Kai Skadahl	Financial Specialist I	Procurement (Purchasing)
Elise McLimans	Financial Specialist II	Procurement (Travel)
Jessica Liegel	HR Manager	Human Resources-*Team Lead*
Denise Weidner	HR Generalist	Human Resources
Helen Murphy	Librarian I	Library
Amanda Thornton	Software Engineer/Developer IV	Administrative Software Management-*Team Lead*
Dan Murach	Software Engineer/Developer III	Administrative Software Management

Appendix B: CIMSS Administrative Support Plan

CIMSS Administrative Support Plan Specific Award Condition
UNIVERSITY OF WISCONSIN - MADISON
TO
U.S. DEPARTMENT OF COMMERCE
NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION

The University of Wisconsin – Madison, Cooperative Institute for Meteorological Satellite Studies, hereinafter referred to as "UW-Madison", submits this Administrative Support Plan to the U.S. Department of Commerce, National Oceanic and Atmospheric Administration (NOAA), hereinafter referred to as "NOAA".

Human Resources
Space Science and Engineering Center (SSEC) Human Resources staff ensure compliance with UW-Madison Human Resources policies, and work directly with CIMSS leadership, Office of the Vice Chancellor for Research (OVCR) Human Resources, and with the UW-Madison Office of Human Resources to create position openings, conduct application reviews, process employment visas, process employment adjustments and payroll, support medical leave, and address other employee issues. SSEC HR maintains employee records and ensures that annual employee reviews are completed.

Every employee has an SSEC/CIMSS supervisor, who reports through the organizational chart to one of the SSEC Directors. SSEC's professional development plan includes annual and interim reviews with work supervisors and/or Directors. SSEC also has an onboarding program for new employees to make sure that they understand UW policies and they learn how to use the resources in the building and on campus.

Safety
SSEC supports experts in Quality Control, Safety, and Employee Training. This group has developed specific quality and safety procedures for SSEC & CIMSS including several documents (e.g., workplace emergencies). Quality Assurance and Safety information is found on the QAS SharePoint site, the central location for shared and controlled documentation related to SSEC projects.

QAS Shared Documents contains employee safety resources including the Occupant Emergency Plan, Continuity of Operations Plan, Chemical Hygiene Plan and Safety Data Sheets for chemicals in SSEC labs.

They maintain controlled document libraries for the QAS program, Facilities & Administration and projects for Instrumentation, Software, and the Ice Drilling Program.

Financial Management
SSEC Research Administration staff work with UW-Madison's Research and Sponsored Programs (RSP) office on award management. UW-Madison utilizes PeopleSoft enterprise resource planning as the primary system for accounting and financial management of grant funding. An overview of UW Madison's Financial Systems can be found at https://businessservices.wisc.edu/accounting/how-to-use-uw-madisons-financial-systems/. Internal controls are a key aspect of every fiscal transaction and policy, with multiple layers of checks and balances. Grant funds are assigned one award number and at least one project number to establish a financial account for grant budget, expenditures, and the recording of revenue. The establishment of a grant award requires department, division, and RSP review and

approvals before the RSP award set up team will proceed in setting up the award within the Shared Financial System (SFS) module of PeopleSoft. Once the award is established, expenditures can be incurred against the award in accordance with UW-Madison payroll, effort, and procurement procedures. These processes are designed for compliance with 2 CFR 200 and award terms, with layers of oversight between department, division, and central administrative office(s).

SSEC has developed an accounting system that integrates directly into the campus-wide financial system to provide customizable, specific, and enhanced reporting capability for projects. The SSEC system gives CIMSS and SSEC leadership detailed cost information on programs and projects as well as a global view of the entire CIMSS program.

Principal Investigators and Program Managers receive monthly reports and have online access to years of accounting data, including project spending, labor, travel, and purchases. Additionally, SSEC Research Administration staff proactively examine financial data and award terms and conditions on a monthly basis to assist with routine project management to ensure that PI obligations are being met.

Policy Compliance
Each year, UW-Madison is audited by the Legislative Audit Bureau for the State of Wisconsin for compliance with CFR 200 Uniform Administrative Requirements, Cost Principals, and Audit Requirements for Federal Awards (aka Uniform Guidance). UW-Madison's Single Audit, Management Letter and Sponsored Agreement Info Letter can be found on the Frequently Used Data page under the section titled Budget Information.

To ensure costs are allowable and allocable, Research Administrators review award terms and conditions, as well as the budget, upon award, and continue to monitor expenditures during SSEC monthly account reconciliation. Additionally, all purchase and travel requests require PI approval, and the SSEC Administrative Director reviews and approves all travel requests and any purchases over $5,000. The SSEC purchasing and travel office ensures the travel or purchase meets UW-Madison policies, has a valid business purpose, and the purchasing/travel is allowable and allocable with the Administrative Director prior to booking or purchase.

Appendix C: Space Use Agreement
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OFFICE SPACE USE AGREEMENT

UNIVERSITY OF WISCONSIN - MADISON
TO
U.S. DEPARTMENT OF COMMERCE
NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION

Location: 1225 W. Dayton Street, Madison, WI 53706
</div>

The University of Wisconsin – Madison, Cooperative Institute for Meteorological Satellite Studies, hereinafter referred to as "UW-Madison", enters into this Agreement with the U.S. Department of Commerce, National Oceanic and Atmospheric Administration (NOAA), hereinafter referred to as "NOAA". UW-Madison and NOAA, when referred to together, are called the "Parties", and each may be referred to in the singular as a "Party". This Use Agreement authorizes NOAA to use of office space at 1225 W. Dayton St., Madison, WI 53706, hereinafter referred to as "Office Space".

THIS OFFICE SPACE USE AGREEMENT is granted subject to the following conditions.

1. **Term.**
    This Agreement shall be effective when executed by both parties. The term of the Agreement shall commence upon NOAA occupancy of the Office Space or January 1, 2021, whichever is earlier, and shall expire ten years from the commencement date, unless sooner terminated subject to Condition 3.

2. **Physical space for NOAA.**
    UW-Madison provides physical space for NOAA federal researchers co-located with CIMSS to facilitate the transfer of scientific findings, tools and products to the operational users. The UW-Madison will continue to provide physical space for NOAA scientists, including office facilities, computing and other university services (e.g., access to facilities). The total square footage of NOAA employee office space for 5 to 8 people is approximately 880 square feet, not including the use of conference rooms, labs, and other facilities. Use of the Office Space is provided to NOAA free of rent. Nothing in this Agreement shall constitute an obligation of NOAA to transfer its funds to UW-Madison or others.

3. **Renewal.**
    This agreement may, upon the written request of NOAA and at the discretion of UW-Madison be renewed for an additional period.

4. **Termination.**
    This agreement may be terminated by either Party upon 270 days written notice to the other Party.

5. **Use of the Office Space.**
    a. NOAA acknowledges this Agreement does not transfer any interest in real property (e.g., the Office Space).

b. NOAA's use of the Office Space will only be to conduct NOAA's official mission.

c. NOAA agrees to observe and obey all applicable rules and regulations which are in effect or which may, from time to time during the term of this Agreement, be validly promulgated for the care, operation, maintenance, and protection of the Office Space; provided, however, nothing in this Agreement shall be construed as a waiver of any sovereign immunity of the United States Government, or require NOAA to take any action that is not permitted by, or consistent with, Federal law, regulation, or policy.

d. Nothing in this Agreement will create or be deemed to create any agency, partnership, joint venture, or employee relationship between the Parties.

6. **Protection of the Office Space.**
NOAA shall exercise due diligence in protecting the Office Space against damage or destruction by fire, vandalism, theft, weather, contamination, or other causes related to NOAA's activities. Any of UW-Madison's property in the Office Space damaged or destroyed by NOAA incident to the exercise of the privileges herein granted shall be promptly reported to UW-Madison.

7. **Alterations of the Office Space.**
NOAA will make no alterations to the Office Space without written approval from UW-Madison.

8. **Restoration of the Office Space.**
On or before the date of expiration, or within 90 days of termination, of this Agreement, NOAA shall vacate the Office Space, remove its property therefrom, and restore the Office Space to original condition, as improved by any UW-Madison-approved renovation, less fair wear and tear, damage from the elements, and circumstances beyond NOAA's control.

9. **Claims.**
For the purposes of this Agreement, NOAA is considered to be self-insured. NOAA agrees to promptly consider and adjudicate any claims which may arise out of use of the Office Space by NOAA or duly authorized representatives or contractors of NOAA and to pay for any damage or injury as may be required by Federal law.

10. **Hazardous Materials.**
NOAA shall not cause or permit any Hazardous Material to be brought upon, kept or used in or about the Office Space by NOAA, its employees, duly authorized representatives, contractors, or invitees without the prior written consent of the UW-Madison. In no event shall NOAA or its employees, duly authorized representatives, invitees, or contractors introduce or discharge any Hazardous Materials into the environment.

11. **Assignments and Transfers.**
This Agreement shall be neither assignable nor transferable by NOAA.

12. **Points of Contact.**
The Points of Contact for this Agreement are:
a. UW-Madison:

Chelsea Dahmen

Associate Director-Administration
Space Science and Engineering Center
University of Wisconsin-Madison
331 AOSS, 1225 W. Dayton St.
Madison, WI 53706
Phone: 608-263-9293

    b. NOAA:

Christopher Brown
Chief, Cooperative Research Programs Division
NOAA's Center for Satellite Applications and Research
5825 University Research Court, Suite 4001
College Park, MD 20740
Phone: 301-405-8031

The contacts and addresses specified above may be changed at any time upon written notice to the other party.

13. **Deemed Export Requirements.**
Within NOAA's Office Space, both the UW-Madison and NOAA are responsible for complying with: 1) applicable export and deemed export requirements; and 2) foreign national (FN) access requirements.

The local contacts for controlled technology and foreign national issues are:
NESDIS Controlled Technology Coordinator:
Name: Jeff Key
Phone: 608-263-2605
Email: Jeff.Key@noaa.gov

UW-Madison
Name: Tom Demke
Title: Export Control Office
Phone: 608-262-8659
E-mail: tom.demke@ssec.wisc.edu

14. **Amendments.** This Agreement may only be modified or amended by the written agreement of the Parties, duly signed by their authorized representatives.

15. **Approval.** NOAA and UW-Madison hereby agree to the provisions of this Agreement as indicated by the signatures of their authorized representative.