



Joint Institute for the Study of the Atmosphere & Ocean

OPERATIONS MANUAL 2016

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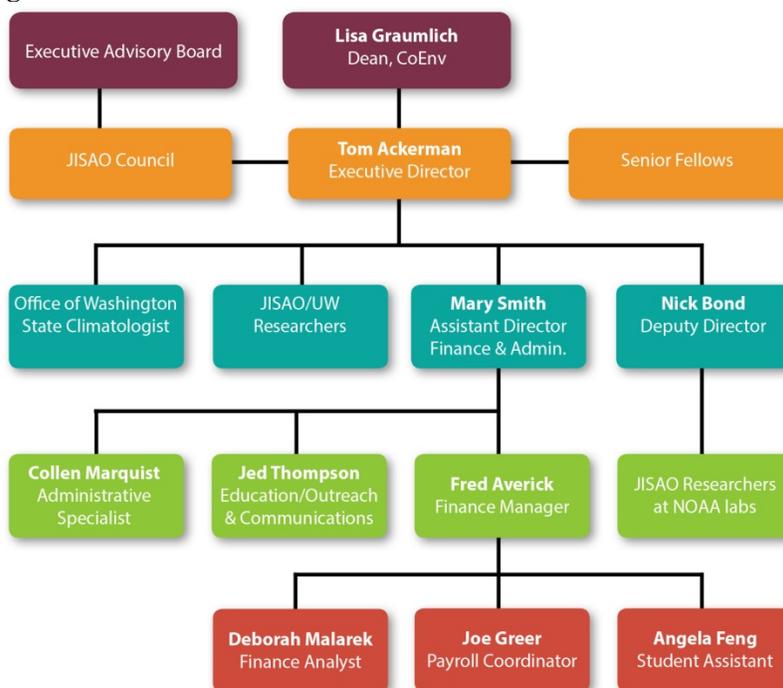
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I. INTRODUCTION

Established in 1977, the Joint Institute for the Study of the Atmosphere and Ocean (JISAO) at the University of Washington (UW), is a NOAA Cooperative Institute that fosters collaborative, multidisciplinary research under seven major research themes of regional, national and global significance: 1) Climate Research and Impacts; 2) Environmental Chemistry; 3) Seafloor Processes; 4) Marine Ecosystems; 5) Protection and Restoration of Marine Resources; 6) Tsunami Observations and Modeling; and 7) Ocean and Coastal Oceanography. JISAO's host laboratory in Seattle is NOAA's Pacific Marine Environmental Lab (PMEL). Other research partners include the National Weather Service, the National Marine Fisheries Service (specifically, the Alaska Fisheries Science Center and the Northwest Fisheries Science Center), the NOAA Center for Tsunami Research (NCTR) and a number of UW departments, schools and colleges, including Atmospheric Sciences, Earth and Space Sciences, Oceanography, Aquatic and Fishery Sciences, Marine Affairs, Civil and Environmental Engineering, Environmental and Forest Sciences and the Evans School of Public Affairs. A NOAA Cooperative Agreement is the primary funding source for JISAO, but the institute's research is also funded by other funding agencies such as NSF, NPRB, the Department of Energy, NASA and other contributors. JISAO reports directly to the UW's College of the Environment at the university level and to the NOAA Office of Atmospheric Research Cooperative Institute Program Office at the national level.

This administrative operations manual is for all JISAO faculty, staff and students who follow University of Washington and NOAA rules and regulations related to institute operations. These procedures are summarized on the JISAO website at <http://jisao.washington.edu/staffportal/administration>, and include the areas of financial management, budgeting, grant and contract administration, human resources management, facilities management and other business services provided by the JISAO staff listed in the organization chart below:

a. JISAO Organization Chart



b. General Staff Responsibilities

General UW administrative information is found at the JISAO Staff Portal at <http://www.washington.edu/admin/>. All administrative staff must know and follow the policies as shown in the UW's Administrative Policy Statements (APS) at <http://www.washington.edu/admin/rules/policies/APS/APSTOC.html> 1, which replace the old UW Operations Manuals. The information in the APS is a summary of policies, rather than procedures. Specific procedures can be found at the various websites for UW travel, purchasing, (cited below) and also at JISAO's administrative website previously mentioned. The duties of each JISAO staff person are discussed below.

The assistant director for finance and administration is, in collaboration with the executive director, responsible for overseeing all JISAO business operations, providing a variety of services and support with regard to its financial, personnel, facilities and administrative management. The assistant director is responsible for establishing business and financial systems according to current auditing standards and supervises the administrative staff, including the finance manager, the finance analyst the payroll coordinator, the outreach/education specialist, the administrative specialist, and a student office assistant. The assistant director ensures that staff know and apply UW, NOAA and other funding agency regulations in their areas of expertise. The assistant director manages HR actions, in collaboration with UW Human Resources, including the new hire process, performance reviews, salary increases, promotions, disciplinary actions, visa processes, etc., and serves as a consultant and main point of contact for all staff and faculty who need assistance with personnel matters. The assistant director provides direction and training as well as counsel to staff as required. The assistant director serves as an ex-officio member of the JISAO Council and represents JISAO at the local and national levels with the UW and NOAA administrations, as well as within the network of NOAA cooperative institutes.

The administrative specialist serves as assistant to the JISAO executive director and manages the master calendar and the coordination of major events and meetings. This specialist serves as the travel and purchasing agent for all JISAO personnel and is the main contact for general administrative support, providing information and guidance to faculty, staff, and students regarding various operational questions and procedures. The administrative specialist supports Task I search committees to hire JISAO post-doctoral researchers, and manages publications and equipment inventory records.

The finance manager implements the financial policies set by the executive director and assistant director, and –with the finance analyst—is responsible for managing all of JISAO's grants involving the NOAA Cooperative Agreement, as well as other NOAA and non-NOAA grants and contracts, and overseeing internal budgets. The manager works with JISAO staff to create and implement procedures that comply with Federal, state, UW and established JISAO regulations and policies. The finance manager supervises the finance analyst, the payroll coordinator and the student office assistant. The finance manager works with JISAO and other UW principal investigators in submitting all NOAA grant and contract proposals and some of the non-NOAA proposals. The manager currently acts as the building coordinator for JISAO.

The finance analyst oversees all non-NOAA grants and contracts, submitting grant proposals, reconciling the budgets and preparing monthly updates for PIs. This position also collects and records all timesheets for JISAO employees and maintains leave records through the UW's OWLS system, acts as a backup for the payroll coordinator, handles petty cash and e-reimbursements and maintains the JISAO grants database. The analyst also assists with Visa processing and currently is an ad hoc member of the College Safety Committee.

The payroll coordinator handles payroll changes and additions for JISAO personnel, requiring in-depth knowledge of the UW payroll and financial systems, including the OPUS and HEPPS systems. The coordinator also reconciles JISAO's travel credit card (CTA) and purchasing credit card (ProCard).

The student assistant is a part-time undergraduate student at UW who provides general office support to JISAO administrative staff including filing, data entry and follow up assistance. The specific duties also include making sure all Grant and Contract Certification Reports are received and maintaining a spreadsheet of purchases.

The education/outreach and communications specialist works with the executive director, associate and assistant directors to design, develop and implement a strong educational/outreach program for K-12 and undergraduate student experiences. The specialist oversees JISAO's summer Research Experience for Undergraduates (REU) program, and is responsible for developing content for and maintaining the JISAO website. The specialist creates collaborations with existing programs at UW and NOAA to share resources and expertise for public events, and establishes and maintains new partnerships with minority-serving institutions for faculty exchanges and summer internship programs. The specialist also designs and distributes the various JISAO outreach materials.

Besides working daily with UW and PMEL/NOAA faculty, administrators, staff, students, and the general public, the JISAO administrative staff interacts regularly with funding agency representatives and program officers.

II. FINANCIAL MANAGEMENT

Under the general direction of the responsible Principal Investigator(s) (PIs), and in collaboration with the administrative offices of the UW, PMEL and NOAA, the assistant director oversees JISAO's fiscal operations to ensure compliance with all regulations and auditing procedures. The finance manager, finance analyst, payroll coordinator and administrative specialist perform the daily budgetary duties while ensuring compliance with university, funding agency, state and federal regulations.

JISAO's specific financial duties include developing and implementing new grant and contract awards; establishing and maintaining effective accounting procedures for monitoring activity on all funded awards; reconciling budgets using UW's My Financial Desktop system; preparing regular budget updates for the PIs and assistant director that include current status and future projections to the end of grant periods; managing sub-contracts and sub-budgets; and overseeing all expenditure activities such as purchasing, reimbursements, travel, outside service contracts and campus services (telephone, mailing, computing, communications issues, photocopying, etc.), initiating, revising, monitoring and tracking payroll; and developing and maintaining financial and payroll files.

Below are the financial tasks outlined in more detail. References and more details on all of these tasks are found in the websites of UW Grant and Contract Accounting at <http://www.washington.edu/research/gca/office/> and UW Office of Sponsored Programs (OSP) at <http://www.washington.edu/research/osp/> and also in hard copies of the UW Grants Information Memoranda, UW Faculty Handbook, notebook from the Faculty Grants Management Program-General Workshop and in the University's UWIN and My Financial Desktop systems. Use of the UW Administrative Applications and OPUS systems is an integral part of the financial management process. The systems include information on budgets, grant and contract accounting, payroll, purchasing, and personnel information. UW Professional & Organizational Development (POD) and the UW Information Technology offices offer classes in many aspects of UW fiscal processes, as well as other administrative

and management systems. Training or experience in all of the above areas is strongly recommended so that the processes are performed according to UW, state, and funding agency standards and regulations. The budget staff also needs to know the grants.gov, NOAA's Grants Online, NSF FastLane and other funding agency systems.

a. Grant & Contract Preparation Process

JISAO grant information is located at: <http://jisao.washington.edu/grants-awards>. There is information for PIs and staff who work with grants. Funding opportunities for government funding agencies are found at: <http://www.grants.gov/>

i. Developing Budgets & Forms

The finance manager and finance analyst coordinate the grant proposal process and develop and compile budgets and related sections for the PI. Duties include ensuring that agency and UW policies are followed and researching and preparing all funding agency and UW forms. Most JISAO grants are funded by NOAA or other federal agencies, so an initial step in the grant preparation process is to go to the funder's website to read the procedures that must be followed.

The finance manager and finance analyst must also prepare grant budgets according to the UW and funding agency financial categories for the eGC-1 in UW's SAGE system and the agency budget forms, respectively. This involves calculating salaries, benefits, services, travel, supplies, tuition, equipment and indirect costs, according to current UW rates. As APL employees are involved in JISAO, the staff must have knowledge of the APL system in calculating prorated direct costs and indirect costs. It is required that the grant budgets display a breakdown of both the UW and APL indirect cost calculations. APL staff may calculate the APL portion of the budget. All policies are detailed in the OSP website at <http://www.washington.edu/research/osp>.

If the agency has its own online system (such as NSF's Fastlane or NASA's NPSIRES system), the proposal information must be uploaded to that system as well.

ii. eGC-1 & UW Approval Process

The eGC-1 process through the SAGE system is described at <http://www.washington.edu/research/index.php?page=prepareProposal>. The finance manager or finance analyst prepares the eGC-1 for the PI and uploads a PDF of the completed proposal to the system. Once the eGC-1 is completed, it is locked from making any further changes and the online approval process begins. After the PI reviews and signs off on the eGC-1, all JISAO grants must be reviewed and approved by the JISAO executive director or the JISAO assistant director. Depending upon the personnel involved in the proposal, other departmental and college level approvals may be required. For example, if there is a Civil and Environmental Engineering (CEE) faculty member on the grant, the proposal must be signed off by CEE chair *and* the Dean of the College of Engineering. If there are Applied Physics Lab personnel in the grant, the APL director must sign off. The next step is to have the proposal signed off by the office of the Dean of the College of the Environment. The last stop before submission to the funding agency is the UW Office of Sponsored Programs (OSP); OSP must receive completed and fully approved proposals no less than 3 working days prior to the grant deadline. Full details of OSP's internal deadlines for Grant proposals are discussed in Grants Information Memorandum 19 at <http://www.washington.edu/research/osp/gim19.html>.

The finance manager or finance analyst resolve any questions or problems that any of the reviewers may have before the proposal is submitted by OSP to the funding agency.

b. Establishing & Maintaining Effective Accounting Procedures

Once a grant is funded, the finance manager and finance analyst develop and maintain efficient accounting systems to ensure budgets are maintained and financial records are consistently kept according to auditing standards and to state, UW, and funding agency guidelines. The assistant director supervises the finance manager, but the position requires several years of experience in working independently with grant and contract accounting. UW POD offers courses in this area, while the Office of Sponsored Programs, Grant and Contract Accounting and Internal Audit serve as resources when questions arise about appropriate and required procedures.

Using UW Administrative Applications (FIN, PAS, HEPPS) and My Financial Desktop systems, the financial staff provide monthly updates and projections for each JISAO budget in order to monitor activity and track expenditures through the end of the grant term. By completing a monthly update, it is then possible to project known expenses, such as salaries, benefits, and tuition, and to estimate other expenses, such as supplies and services, with the overall goal of “zeroing” out the budget each year and avoiding any deficits. The system is a series of Excel spreadsheets that are kept on a shared server in budget files for the various projects. There are also hard copy files for each budget. More details on budget updates are explained in the following section.

The UW Grant and Contract Accounting office is responsible for preparing and submitting most of the financial reports for each grant to the funding agencies.

i. Reconciling with My Financial Desktop & Preparing Monthly Budget Updates

It is the responsibility of the finance manager and finance analyst to reconcile the budgets on a monthly basis, and prepare budget updates for the PIs, assistant director, and executive director.

For each budget, there is a physical file of pending receipts, invoices, signed purchase requests, and signed packing slips that have not yet posted to My Financial Desktop. When a month closes, a transaction report for that month is printed out for each budget, and the corresponding documentation is reviewed to ensure that the charges are correct and allowable. If an error arises, the reconciler follows up with the PI, the vendor and/or UW Accounts Payable to make sure it is corrected.

All hard copy documents that relate to a particular expenditure (signed purchase request, invoice, signed and dated packing slip, etc.) are filed with the monthly budget transaction report, and the amounts are entered into the Monthly Budget Update spreadsheet. The UW allows electronic invoices from UW departments (eTravel, eReimbursement, UW-IT telecommunications invoices, etc.) to be used as the official documentation, so no hard copies of these charges are necessary.

The Monthly Budget Updates are finalized by making sure the remaining balance is correct and projecting upcoming costs through the end of the grant. The finance staff meets periodically with PIs, the assistant director, and the executive director to discuss any problems that need resolution. The finance staff also assists PIs with future budget planning and forecasting.

c. Sub-Contracts

The finance manager manages the sub-contracts and sub-budgets funded through JISAO’s grants and contracts. Each sub-contract is handled via the OSP and purchasing system, with the proposal from the sub-contractor used as an “Attachment” to the purchase order. Most sub-contracts are

collaborations with other research institutions that were included in the project's grant proposal. However, if a sub-contract with another institution is needed that was not in the original grant proposal, JISAO works with OSP to submit a request to the funding agency. As part of the request, we first determine if there's a justification for a sole source for the sub-contract, or whether a bidding process needs to take place. If it is a sole source, we make sure we get appropriate approvals from the institution. JISAO then initiates the request to the funding agency, which is reviewed and submitted by OSP.

d. Purchasing

This office follows standard UW purchasing procedures that can be found on the web at <http://f2.washington.edu/fm/ps/>. JISAO purchasing procedures can be found at <http://www.jisao.washington.edu/staff-portal/purchasing>

All purchases against JISAO budgets must be approved and signed off by the PI (or his/her authorized designee) and the assistant director on the purchasing form located at the website above. All purchasing on JISAO's budgets and grants and contracts is initiated on this form and submitted to the administrative specialist at the request of the purchaser (faculty, staff or graduate student). There are two types of purchasing – purchasing on-campus items or services, and purchasing items or services from off-campus vendors. The various purchasing methods are:

UW ProCard purchases charged to a UW Visa Procurement Card (ProCard) are for purchases not to exceed \$3,500 per transaction.

UW eProcurement purchases made via the UW's online Ariba system, for vendors that have been approved for inclusion into the UW system. These vendors' ordering websites are linked to the Ariba system.

Purchase orders are generally limited to large purchases (over \$10,000) for vendors that are not available via Ariba.

eReimbursement purchases are made by the UW employee and reimbursed to them. UW limits these to \$3,500, though JISAO caps these at \$1,000 (with occasional exceptions made).

Purchasing procedures vary depending on whether the purchase is made on or off campus:

i. On-Campus Purchases

On-campus purchases are initiated by the purchaser who submits the request to the administrative specialist. The request must have prior approval from the PI or his/her authorized designee. Such purchases include science poster printing, software downloads such as MATLAB, meeting room fees, parking passes for visitors and staff located at NOAA PMEL, health consultations and immunizations at UW Hall Health, mailing services, library services, etc. All copies of these transactions are forwarded to the administrative specialist and included in the pending budget files until they are posted to My Financial Desktop.

ii. Off-Campus Purchases

The main purchasing agent for JISAO is the administrative specialist. After the purchase request form is fully signed, the administrative specialist makes the purchase with the ProCard, via eProcurement, or enters the purchase order information into the UW's PAS system (and follows up the order by sending any attachments or related documents to the Purchasing Department).

1. The order form is kept in the administrative specialist's files until completion. Documentation such as web order forms, purchase order copies (from Purchasing Dept.), receipts, packing slips, etc., are placed in the pending budget file when the documents are processed through the administrative specialist.
2. For ProCard purchases, the administrative specialist reviews all ProCard transactions when they are posted to the online PaymentNet system, and the transactions are then reconciled by the payroll coordinator and approved by the assistant director each month. The finance manager and finance analyst review the expenditures again when completing the monthly budget updates.
3. When an item arrives, the packing slip must be signed and dated by the receiver and sent to the administrative specialist. The packing slip is then filed in the pending budget file.
4. In some cases (e.g. when a scientist is doing research in the field), it's more expedient to have the individual purchase the item and get reimbursed from the grant or contract. An eReimbursement form must be completed and signed by the person to be reimbursed, the PI (or his/her designee), and the assistant director. The form is found at <http://jisao.washington.edu/sites/default/files/PDFs/StaffPortal/eReimbursementRequest.pdf>. The form is submitted with original receipts to the finance analyst, who processes and uploads it via website. It is then electronically approved by the finance manager, and the funds are electronically deposited into the bank account where the person making the request receives his or her paycheck. JISAO also has a small petty cash account in case checks need to be written on an emergency basis.

The administrative specialist, finance manager and finance analyst check the purchasing activity regularly to ensure that items ordered are received and that the amounts charged to the budgets are accurate.

Purchase order encumbrances are liquidated as items are received and charges post. Sometimes there are encumbrances that are no longer needed, or are inaccurate, and they must be cleared from the budget at some point during the grant period so that the budget is credited or debited appropriately.

e. Receiving Cash or Checks

When a check comes in as a gift, the donor's cover letter and the check are sent directly to the UW Office of Advancement. The UW gift processing guidelines are at <http://depts.washington.edu/uwadv/central-resources/gproc/gift-processing-guidelines/>. Parameters for spending these funds will be described in the funder's initial letter announcing the gift.

We also receive cash or checks for other reasons, such as collection of registration fees during workshops or conferences, the sale of JISAO t-shirts and hats, the repayment by an employee of costs charged to a budget and then reimbursed, or for the State Climatologist's revenue budget. These are processed by Student Fiscal Services and Banking & Accounting Operations. We have deposit tickets and bags printed for such instances, and after filling out both the ticket and the bag, the deposit is sent to Student Fiscal Services. We receive an email in a few days with a link to an online form that is filled out with the budget number and revenue code where the funds are to be placed. The form is then submitted to Banking & Accounting Operations electronically. After a few more days, the funds can be seen in the appropriate budget on My Financial Desktop. All the paperwork is retained and used for reconciliation purposes.

f. Payroll, Employee Leave & Cruise Policy Systems

JISAO follows all payroll policies and regulations of the University of Washington, as described at <http://f2.washington.edu/fm/payroll/coordinators>. The PIs, executive director or assistant director initiate all JISAO payroll actions. Employees are not allowed to initiate their own payroll changes (unless they are the PI of the grant that will pay them). There are two types of payroll: 1) the regular monthly payroll for salaried faculty, staff, and graduate student appointments, and; 2) the hourly payroll for temporary employees and student helpers. All payroll and employee leave records are handled through the UW OPUS, Time Reporting Online and OWLS systems. Notifications of payroll changes are sent electronically to the payroll coordinator who uses the information to update appointments and distributions in the OPUS system. Payroll is updated and released by the payroll coordinator and approved twice per month by the assistant director.

i. Faculty, Staff & Graduate Student Appointments

The payroll coordinator initiates payroll additions and revisions according to directions from the PI, executive director, or assistant director sent to the coordinator via email with all pertinent information. The email should include information on: 1) the budget number, 2) the percentage of time the person will work on the particular budget, 3) beginning and end dates that the person will work on the budget, and 4) any other pertinent information. All payroll changes must be given to the payroll coordinator in advance so that there is time to put it in the payroll system, and employees do not drop off the payroll or receive compensation for which they are not entitled. This includes all periods of Leave Without Pay (LWO), leave on FMLA or terminations. The payroll coordinator then initiates the action through the OPUS system.

New employees must meet with the payroll coordinator to fill out an employment packet of necessary forms found on the JISAO administrative website at http://www.jisao.washington.edu/staff-portal/hr/new_employees and to be instructed about new employee orientation, benefits, etc. All UW benefits are detailed at <http://www.washington.edu/admin/hr/benefits/>. The assistant director and the payroll coordinator hold the joint responsibility of greeting new employees, answering questions they may have about UW employment, assigning a work space and equipment, providing access to the UW network and email systems and serving as consultant on UW rules and procedures.

ii. Grant & Contract Certification Reports

This procedure requires actions by the JISAO payroll coordinator, the JISAO finance manager and all of the Principal Investigators (PIs) who receive funding through this Institute. The steps are as follows:

1. The payroll coordinator generates the GCCR quarterly report by downloading it the first payday of the month directly following the previous quarter.
2. The payroll coordinator prints the GCCR reports and distributes them to all PIs.
3. The payroll coordinator tracks the process, and notes the dates of distribution and receipt of all GCCRs, following up with Principal Investigators who have not submitted their GCCR(s), until all reports have been received.
4. If a salary transfer or error needs correction, the PI makes a note directly on the GCCR, initials the change(s) on the report, writes the reason for the change(s), certifies with an ink signature, and dates the report before returning all GCCRs to the payroll coordinator in a timely manner.
5. The salary transfer, or other required changes, related to the GCCR report for that cycle will be attached with the GCCR report.

6. In rare instances when the PI is not available to certify in a timely manner, the department Chair, Division Head or Director of the department may certify on the PI's behalf. The person certifying for the PI must have suitable means of verification that the work was performed through e-mail communication from the PI. This documentation is retained with the GCCR.
7. The finance manager reviews and reconciles the GCCR Reports in the spring each year to ensure that all have been received on time, signed, dated, and all required actions taken.

iii. Monthly Staff Timesheet & Vacation/Sick Leave Records

All salaried professional and classified staff must complete timesheets at the end of each month, have them approved/signed by their supervisor and/or the PI, and send them to the payroll coordinator. Blank forms are displayed online at the JISAO website. If any sick, vacation or other types of leave are taken, the employee details that information on the timesheet and the supervisor signs to signify approval of the leave (although vacation leave approvals are obtained before the time is taken off). Each employee signs the form, as well as the supervisor. If the supervisor is unavailable, there are two back-up personnel who can sign the timesheets: the JISAO executive director or assistant director. All timesheets, cruise documentation, and policies for using them can be found at <http://jisao.washington.edu/staff-portal/payroll>.

iv. Hourly Employees

Hiring supervisors give employee information to the assistant director, who in turn gives it to the payroll coordinator. New hourly personnel fill out the necessary hiring paperwork found on the JISAO administrative web site. The payroll coordinator reviews the paperwork with the new employee to ensure all is complete.

Hourly timesheets, whether completed via UW Timesheet or using paper timesheets, are due twice per month and must be completed and signed by the employee and signed by the supervisor. Everyone needs to comply with the deadlines so that the payroll coordinator has enough lead time to complete the payroll. Timesheets must be submitted at least one day before the department deadline. Any additions and/or revisions to the hourly payroll need to be processed through the assistant director and payroll coordinator so that there is always the most accurate and current information in the JISAO files. The payroll coordinator circulates timesheet deadlines and other pertinent information to all involved employees and supervisors.

g. Equipment Inventory & Property Activity

The assistant director and administrative specialist, in collaboration with PIs and equipment users, manage the JISAO equipment inventory and property activity. JISAO follows the University, State of Washington and federal regulations regarding equipment purchase, use and disposal. The UW web site at <http://www.washington.edu/admin/rules/APS/61.01.html> provides the details of this system.

The administrative specialist records and maintains the current JISAO equipment inventory list, and conducts annual and semiannual inventory inspections. When a piece of equipment valued over \$2,000 is purchased, the administrative specialist adds the item to the UW inventory and sends a uniquely numbered UW equipment tag to the user to affix to the item. The equipment user must place this tag on the equipment for tracking purposes. A copy of the tag number and equipment and user information is faxed to the UW Equipment Inventory Office (EIO) within twenty-four hours of receipt. Tag numbers and serial numbers are recorded on the JISAO-maintained inventory list, which also includes information on the person responsible for the equipment and its location. JISAO identifies equipment with a value greater than \$500 with

assigned JISAO equipment numbers. These are provided on request by the EIO. This information is not sent to the EIO, but the record is maintained on JISAO's inventory list.

IMPORTANT: If a piece of equipment is taken to a different location (e.g., home to use for business purposes or to a remote research location), the responsible person must report this to the administrative specialist and give the new location, which is then noted on the equipment inventory list. Any time equipment is moved, the new location must be reported. When the equipment becomes obsolete or no longer of use, the responsible person must return it to the JISAO office so that it can go through the UW Surplus system.

A Property Activity form <http://www.washington.edu/admin/eio/dispose/1024instruct.html> must be filled out and approved by the PI(s), and the JISAO executive director for all property that is being surplused or moved to other locations and/or departments on campus or elsewhere. Equipment purchased on federal grants must go through a special surplus approval process conducted by the UW Property Manager at the Equipment Inventory Office. The PI and the department chair or administrator must sign the Property Activity form. If the property is being surplused, the form is sent to the Surplus Office and arrangements are made in advance to have the equipment transferred to that office. JISAO personnel can transport the equipment to the Surplus Property office or it can be picked up at JISAO by the Surplus Office.

h. Travel Procedures

JISAO's travel procedures are found at <http://www.jisao.washington.edu/staff-portal/travel>. JISAO follows State of Washington and federal travel procedures. Comprehensive procedures may be found at <http://f2.washington.edu/fm/travel>.

i. Pre-Travel

The administrative specialist handles travel arrangements and reimbursements for JISAO personnel <http://www.jisao.washington.edu/staff-portal/travel/guidelines>.

The PI, assistant director and finance manager approve travel funded on a specific budget. The JISAO executive director approves travel for the PIs or for faculty who are traveling on department budgets, and the Dean approves travel for the executive director. When a member of the group is planning to attend a scientific meeting, the traveler checks with the PI and/or Director as to whether the budget associated with the project can cover the intended travel and to seek pre-approval.

Travel is initiated with a travel request form found on the JISAO administrative website that is cited above. Per diem advances may be given to those who need them. Most JISAO travelers use the corporate travel account for airfare. Travelers are directed to work with a travel agent familiar with UW and federal travel rules for ticketing flights. The administrative specialist approves all ticketing prior to finalization. Travelers make their own hotel and rental car arrangements. JISAO staff is encouraged to have the administrative specialist pay for conference registration via the ProCard when feasible.

ii. Post-Travel

Upon return, the traveler gives all receipts for travel to the administrative specialist. These generally include the original hotel receipt(s) and miscellaneous expenses such as taxis and shuttles over \$75; miscellaneous expense receipts under \$75 are not required with a few exceptions, but the traveler keeps a list of these so they can be claimed on the reimbursement voucher. Meal receipts are not required as meals are reimbursed at flat rates, according to the city visited (see <http://f2.washington.edu/fm/travel/meals>). The traveler fills out a Travel

Expense Summary <http://jisao.washington.edu/staff-portal/travel> which has all the necessary information for reimbursement. The administrative specialist prepares the UW Expense Report online, and it goes through an online approval process that involves a compliance approver, a funding approver and final sign off by the traveler and the UW Travel Office for all foreign travel and randomly assigned domestic travel. Once the final approval is given, funds are electronically transferred to the traveler's bank account within 24 hours.

iii. Travel Card & CTA Account Procedures

It is University of Washington policy that all airfare paid from University budgets is charged either to individual UW corporate travel cards or the JISAO corporate travel account (CTA). The traveler is instructed to give all travel information to the travel agent, who charges the JISAO CTA, sends the ticket information and amount to the administrative specialist for approval and sends the airline ticket document via email to the traveler and administrative specialist. Copies of the itinerary are maintained in the shared server for JISAO and are uploaded to the UW Ariba travel system for the appropriate travel expense reimbursement.

iv. Foreign Travel

Foreign travel has certain restrictions related to visas, the Fly America Act and other issues. Before coordinating any foreign travel, the administrative specialist and the traveler should review and follow the foreign travel regulations found at <http://www.washington.edu/admin/finserv/travel//foreign.travel.html>.

i. Human Resources Management & Supervision

JISAO follows UW, state and federal regulations regarding human resources management. Information on UW Human Resources is found at <http://www.washington.edu/admin/hr/>. The assistant director serves as the JISAO human resources manager, and developing and maintaining clear communications with all employees, housed both at UW and NOAA, is an essential part of that role. The assistant director serves as a resource for information about UW employment policies and is the point of contact for employees or supervisors regarding any matters related to human resources issues. The assistant director is located on the UW campus but also holds regular, weekly office hours at the NOAA/PMEL/AFSC.

Responsibilities include: managing the hiring process; overseeing the performance review process; providing counsel and information to supervisors and employees on federal, state and university human resources regulations and policies; initiating personnel actions, such as merit reviews, promotions, in-grade salary increases; and handling disciplinary processes as necessary. The assistant director directly supervises the JISAO administrative staff. Extensive experience and training in human resources management and effective supervisory skills are required.

The assistant director provides consultation on information regarding communication, conflict resolution, proactive problem solving, and team building; facilitates staff training and disseminates information as needed. The assistant director promotes good working relationships and open communication with all staff, faculty and students, and all other personnel and agencies dealing with JISAO.

All personnel appointments are coordinated through the assistant director's office, including new hires, promotion paperwork, visa requests, etc., ensuring correct procedures are followed and documents are complete for submission to the appropriate offices for processing. The administrative specialist works with the assistant director on these actions.

To ensure compliance with University and federal regulations, the assistant director and administrative specialist initiate, manage and track the hiring process, including new position

advertisements, maintaining appropriate contact with applicants and keeping accurate records of applications. For employees who handle hiring of personnel, the assistant director will provide information on the review and selection of applicants, the interview process and reference checking. Additionally, the assistant director provides consultation to staff members on the process of writing position upgrades and job descriptions, procedure interpretation, etc.

The assistant director maintains human resources files for faculty and staff, including CVs, job descriptions, promotion documents, performance evaluations (kept in separate files), and training records and sends appropriate documents to the UW HR Department for filing in official personnel records. The assistant director identifies and participates in HR training courses to add to job skills, as desired/required since the position is dynamic and evolving as JISAO changes. Training courses are also available to all JISAO administrative and scientific staff.

III. SAFETY

A JISAO representative is elected annually to the College Safety Committee. Currently a JISAO employee located at NOAA-PMEL holds this role, and the finance analyst acts as an ad hoc committee member for staff at Wallace Hall. JISAO has developed safety plans for both Wallace Hall and NOAA-PMEL that include specific fire safety instructions and identifies first aid and CPR-trained staff. This information can be found at <http://www.jisao.washington.edu/staff-portal/emergency>. An earthquake preparedness plan has also been completed.

IV. GENERAL ADMINISTRATIVE SUPPORT

a. Writing & Editing

Several administrative staff members assist in writing and editing grant proposals, websites, reports, correspondence, public relations documents, newsletters, etc. The JISAO Annual Report is compiled and completed by the assistant and associate directors, the outreach/education and communications specialist, the finance analyst and all of the PIs who had projects over any given year.

b. Systems Administration

JISAO's systems administration is handled by the Nebula support group in UW Technology. Computer backup is also provided by this group.

V. COMMUNICATIONS, PUBLIC RELATIONS & WEBSITE DEVELOPMENT

a. Tracking Media Coverage

i. JISAO uses Google Alerts to gather and track media coverage. We tell Google what to look for, and each time it finds a news article featuring one of our keywords, it sends us a link to that article. Every three months, the keywords are updated to include an accurate list of JISAO scientists, as well as organization names and projects that our researchers are affiliated with.

ii. When an alert is received, the news article will be posted on the homepage of our website. JISAO's Education/Outreach & Communication Specialist is responsible for receiving alerts and posting the articles online.

iii. An archive of all news articles is kept on our website under "In the News." The specialist creates a PDF of each article for archiving unless the article contains audio or video clips, in

which case a direct link is posted in the archive. JISAO has a record of all news articles dating back to 2007.

iv. JISAO's contact person in UW News frequently writes stories about work being done at JISAO, and keeps us in the loop when articles are found about our research. The specialist keeps in touch with this contact to let them know when there is an upcoming project they might be interested in covering. If possible, we try to give them two weeks' notice if a newsworthy publication will be coming out.

v. Twitter is a valuable tool for tracking media coverage. JISAO joined Twitter in 2013 and has used it to keep in touch with NOAA media contacts and other science followers throughout the country.

b. Press Releases

JISAO researchers are encouraged to contact the specialist when they have an upcoming publication or event that might be of interest to the media.

When a press release is appropriate, the specialist will work with the other organizations involved in the research to create the release. The head author's home institution will take the lead. The specialist is responsible for reviewing early drafts to make sure JISAO scientists are referred to correctly (UW and JISAO, not NOAA).

c. JISAO Website

JISAO's website was revamped in 2010. It is made up of two main sections, including public pages and the staff portal.

Public pages

From the homepage, visitors can find information on our seven research themes, a staff directory, videos, education, outreach events, news archive, ways to contribute, and more. The homepage also features four scrolling content boxes used to highlight current news and events.

Staff portal

This section is provided for all JISAO employees as a service to inform them about administrative practices, including information on grants, human resources, travel, purchasing, and payroll. PDFs of past annual reports and other JISAO documents are posted on the web.

i. Website Updates

The specialist is responsible for all website updates. This includes but is not limited to news articles, directory entries, events, staff spotlights, researcher bios, out-of-office calendar, and all page content. All updates should go through the Education/Outreach & Communications Specialist.

When you see a page that needs to be updated, send a link to the specialist and specify what changes you would like. If a lot of text needs to change send that text in an email or separate document. Please do not format the text – the specialist will format the page to be consistent with the rest of the website.

Coverflow feature: Like the UW's website, JISAO's homepage features four scrolling boxes used to highlight events, outreach, news, and staff spotlights. The specialist updates the stories and photos in the coverflow as often as possible.

Databases: JISAO's website has two databases created by an external database designer. One database is our directory, featuring information about employees and individuals we partner with. We also have a publications database used by researchers with work being published. Directory entries and updates are to be made by the specialist. The finance manager is also able to edit the options within the directory database. The external designer currently maintains the publications database but we're transitioning to JISAO staff taking over maintenance of both databases.

Drupal: JISAO's website was created in the open source content management system, Drupal. Drupal can be accessed through any computer with access to the internet so it is possible to make updates to JISAO's website while away from the office. Security updates and updates to the Drupal core have been done by Marcus Duke in Sea Grant. There have been numerous challenges to updating the Drupal core so JISAO is currently talking with UW Creative Communications about doing a full update for us.

d. Facebook & Twitter

JISAO has both a Facebook and Twitter account that are updated by the Education/Outreach and Communications Specialist. JISAO uses Twitter to spread news about research, publications, and events. It has proven to be a successful way to keep in touch with people throughout the UW, as well as contacts at NOAA and other CIs. Facebook is also used to share information about news and events but it is used less formally for photos, party invitations, and other tidbits of entertainment relating to JISAO.

e. Annual Report

The specialist is responsible for the design and layout of JISAO's Annual Report. The 65 to 75 page document will be created using Adobe InDesign and then 30 copies will be printed by Advent Printing. The Annual Report is a collaborative project involving the JISAO administration staff, as well as the executive director and each principal investigator. Following the production of the Annual Report, the specialist will create a shorter document from the report's Executive Summary. This 15 to 20 page document will feature highlights about research projects within each of JISAO's seven research themes. The Executive Summary document is designed for non-scientists who do not know anything about JISAO, but are interested in learning about the research we are doing.

VI. INFORMATION SYSTEMS DEVELOPMENT & RECORDS MANAGEMENT

The administrative staff are responsible for developing information and tracking systems for the data kept for JISAO's business records. The assistant director and administrative staff design and implement a management plan and a scheduling/tracking system for keeping necessary information. These systems include databases, spreadsheets, computerized and hard copy filing systems, communications systems, etc. and are described in the above sections. This requires advanced experience and training in the use of computers, database management and various types of software. Outside consultants are used at times to help create specific systems or to assist with website design/development.

a. JISAO Grant Database

The JISAO Grant Database contains information about all awards that help fund JISAO. Each record includes the award's grant number, UW budget number, PI, sponsor, start and end dates, overhead rate, short and long titles, reporting requirements, and other useful information.

Awards can be searched by any of the fields using queries, and reports can be printed out using specific criteria. Currently a work in progress, the database will eventually include fiscal information.

b. Records Management

JISAO staff follow the UW's records management procedures found at <http://f2.washington.edu/fm/recmgt/>. This includes following the General Records Retention schedule outlined at this site. *It is also important to note that computer files on all employees' computers, as well as all hard-copy files, are to be maintained and kept according to this schedule.*

VII. STRATEGIC PLANNING

In collaboration with the JISAO Council and Senior Fellows, the executive director and assistant director design and implement a strategic planning process for the Institute. This involves creating the future vision and direction of JISAO.

VIII. MANAGEMENT OF INTELLECTUAL PROPERTY

Should there be a need, the assistant director is responsible for creating a plan to ensure protection of JISAO's intellectual property and any products developed, in compliance with UW procedures for copyrighted and intellectual materials. This plan should be developed in collaboration with the UW's Center for Commercialization. Information on this office is at: <http://depts.washington.edu/uwc4c>. The assistant director will facilitate the process by directing the development and implementation of technology transfer documents, including participation, licensing and royalty agreements.

IX. COLLABORATIONS WITH OTHER CAMPUS UNITS & OUTSIDE ORGANIZATIONS

The administrative staff serves as the liaison between the JISAO units and other campus units and outside organizations, as well as works within the national network of NOAA joint institutes. Strong public relations, communications, collaboration, and team-building skills are required on the part of all staff.

X. VOLUNTEER COMMITTEE WORK

The assistant director or other administrative staff may volunteer or be asked to serve on various UW or outside committees. This work may require facilitation, organizational, training and presentation skills.

XI. PROFESSIONAL STAFF DEVELOPMENT & TRAINING

The administrative staff must keep current on grant and contract regulations and procedures, UW accounting procedures, and other University processes. It is also important to maintain up-to-date business management, computer, supervisory, communications, and interpersonal skills. A training and development plan is created during the annual staff performance reviews, in collaboration with the supervisors of each position.

XII. OUTREACH & EDUCATION

a. Research Experience for Undergraduates (REU) Program

The REU program is one of the cornerstones of JISAO's Education and Outreach activities. Five to six undergraduate student interns spend the summer at the UW or NOAA campus working on a research project mentored by UW faculty, NOAA scientists or JISAO researchers. We strive for a diverse group of students (none of which are students at UW), focusing on underrepresented groups and those who don't have access to extensive environmental research programs at their own college. This paid internship requires year-round work for JISAO staff; the details are broken down below.

September

- i.** Create flyer and application form for the following year's program.
- ii.** Collect evaluations forms from mentors and students.
- iii.** Update internship content on JISAO's website.

October

- i.** Recruiting at SACNAS and AISES National Conferences.
- ii.** Put updated applications online.
- iii.** Update our program listing on Pathways to Science website.

November

- i.** Begin recruiting mentors at JISAO's quarterly meeting at PMEL.

December

- i.** Answer questions from students and mentors who might be interested in the program.

January

- i.** Send email asking for updates from our former interns.
- ii.** Send emails to recruit mentors.
- iii.** Collect project descriptions from interested mentors.

February

- i.** Application deadline is the middle of the month.
- ii.** Collect and organize applications.

March

- i.** Application review.
- ii.** Choosing interns: The Director reviews top candidates and assigns them to the predetermined mentors.
- iii.** Send an email to students offering them an internship. Include in the email the mentor they will be working with and a short description of the project.
- iv.** Notify all applicants, rejected or accepted, by April 1.

April

- i.** Send an email congratulating the students, welcoming them to JISAO, and letting them know that a lot of information will be coming soon.
- ii.** Travel reservations: Tell each intern to contact Collen who will put them in touch with the travel agent.

- iii. Make the housing reservation at Stevens Court.

May

- i. Schedule Seminars for each week of the program. This includes reserving Classroom 120 for the summer. Seminars happen once a week and are usually at 3:30pm following the JISAO social.
- ii. Reserve Classroom 120 for the final presentations, as well as the seminars.
- iii. Send email to the interns with housing information. This can be a consolidated version of what conference services sent in the reservation confirmation.

June

- i. Create welcome packets and leave them at Terry Hall front desk for interns to pick up when they arrive.
- ii. Make sure interns at PMEL will have security clearance when they arrive.
- iii. Clean and organize our collection of dishes and linens.
- iv. Send interns clear instructions about how to get to campus from the airport (Shuttle Express is best and we will reimburse them). Make sure they know we will not be there to pick them up.
- v. Interns MUST bring two forms of ID on the first day. One can be a driver's license and the other should be a passport or social security card.
- vi. Interns begin on the first day of the quarter with an orientation in Wallace Hall at 10:30am.
- vii. After the first week, do a check in with each student and each mentor. If there are any problems we want to correct them as soon as possible.

July

- i. Remind students that you want photos of everything they are doing.
- ii. Rent a van to take the interns to JISAO's summer picnic.
- iii. Be available for the interns and help them out with whatever they need. Be available to the mentors too.

August

- i. Design postcards for this year's thank you note.
- ii. Go over the intern requirements with them one more time. In addition to their poster we need a three-minute video and text for their webpage.
- iii. Order the intern research posters from UW Posters.
- iv. Send an invitation to everyone at JISAO and all the mentors inviting them to the final presentations. Encourage the interns to invite friends, family, people they worked with, or anyone else they'd like.
- v. Go shopping for food to serve at final presentations.
- vi. The Final Presentations happen on the last day of the program at 3:00 pm. We show their videos and then each student stands in front of their posters to talk with people about their research.
- vii. Make sure each student sends their written assignment for the website.
- viii. Send mentors and interns the survey to fill out.
- ix. Make webpages for each of the students. Pages should include content written by the students, their video, and their research poster.

b. Events

JISAO scientists participate in multiple Outreach events throughout the year. Many are hosted at the Pacific Science Center including Polar Science Weekend, Paws on Science: Husky Weekend,

Scientist Spotlights, and Seattle Science Festival. Other events are hosted at the Seattle Aquarium, Museum of Flight, NOAA Sand Point, and many others. Most events are designed for the public to learn about the innovative research being done in the Seattle area. The Education/Outreach and Communications Specialist is responsible for recruiting and organizing the participation of JISAO researchers at each event. Most events last one day, and we try to break it down into two-hour shifts with at least two people staffing the display table at all times. Scientists are encouraged to display hands-on activities that demonstrate the research they are doing. Pacific Science Center offers programs to develop hands-on activities and the specialist is also available to assist in creating displays and activities.

The specialist should write a brief synopsis following each event to highlight on the website and keep in the events archive.

c. Outreach Materials

The Education/Outreach and Communications Specialist creates all outreach materials for JISAO. Common materials include pens, magnets, bookmarks, stickers, brochures, internship flyers, hats, and t-shirts. It is up to the specialist to design and order new materials when the old ones run out. JISAO has developed a relationship with Sanctuary Arts for designing and screen-printing our t-shirts each year. Sanctuary Arts is made up of homeless and street-involved youth enrolled in pre-employment internships designed to teach specific vocational skills in the arts. The specialist is currently working on new designs for a JISAO banner that will reflect all seven of JISAO's research themes.

XIII. SPECIAL PROJECTS

Special projects may be assigned to the administrative staff at any time. This could be writing or editing projects, program outreach, committee work, fundraising efforts, etc.

The JISAO administration works as a team and supports each other in providing a wide variety of needed services to all the constituencies it serves. This management philosophy has proven effective in a number of ways, because it utilizes the expertise and broad range of skills present among employees who work in the Institute.