



AMERICAN METEOROLOGICAL SOCIETY

45 BEACON STREET, BOSTON, MASSACHUSETTS 02108

AREA CODE 617 227-2425
CABLE: ATMOSPHERE BOSTON

KENNETH C. SPENGLER, EXECUTIVE DIRECTOR

31 August 1973

DR. WILLIAM W. KELLOGG, AMS PRESIDENT
NATIONAL CENTER FOR ATMOSPHERIC RESEARCH (NCAR)
BOULDER, COLORADO 80302
TEL: (303) 494-5151

*Incoming
File
DFC*

RECD SEP 10 1973

Dr. Chester W. Newton
Editor, Monthly Weather Review
National Center for Atmospheric Research
Boulder, Colorado 80302

Dear Chester:

Although Ken Spengler may have already told you the good news, I want to officially inform you that the AMS Council has approved your appointment as Editor of the Monthly Weather Review. There was little doubt in my mind that the approval would be forthcoming, but it is good to know that you have the backing of the Council.

I believe that Ken will be in touch with you concerning the routine aspects of running the Journal, and I assume that you will also be in touch with the previous Editor in order to be sure that the transfer of editorship goes smoothly.

On behalf of the Society I wish to express my heartfelt gratitude to you for your willingness to take on this important and time-consuming job for the Society. Having tried it myself in a small way in the past, I know that it is also a rewarding kind of job.

Sincerely yours,

William W. Kellogg
President, AMS

cc - G.Hilst
D.Landrigan ✓
K.Spengler

A. R. A. P.

AERONAUTICAL RESEARCH ASSOCIATES of PRINCETON, INC.

50 WASHINGTON ROAD, PRINCETON, N. J. 08540 . . . (609) 452-2950

REC'D APR 10 1974

April 8, 1974

Mr. William H. Klein, Director
Techniques Development Laboratory
U.S. Department of Commerce
National Oceanic and Atmospheric Administration
Silver Spring, Maryland 20910

Dear Bill:

I have your letter of March 27th regarding cross-referencing of MWR in the JAS and JAM inside cover information. This, of course, is the way it is supposed to be, and will be in very short order. Unhappily, the delay was largely occasioned by another delay in revising all of the inside covers to include specific information on our going to the SI metric units system.

If necessary, these changes will be made in two steps. I have already approved the amended statement regarding MWR, JAS, and JAM.

Thank you for bringing this to my attention.

Sincerely,



Glenn R. Hilst

GRH/aes

cc: D. Johnson
✓K.C. Spengler



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KENNETH C. SPENGLER, EXECUTIVE DIRECTOR

May 22, 1974

Dr. Chester W. Newton, Editor
Monthly Weather Review
National Center for Atmospheric Research
P.O. Box 3000
Boulder, Colorado 80303

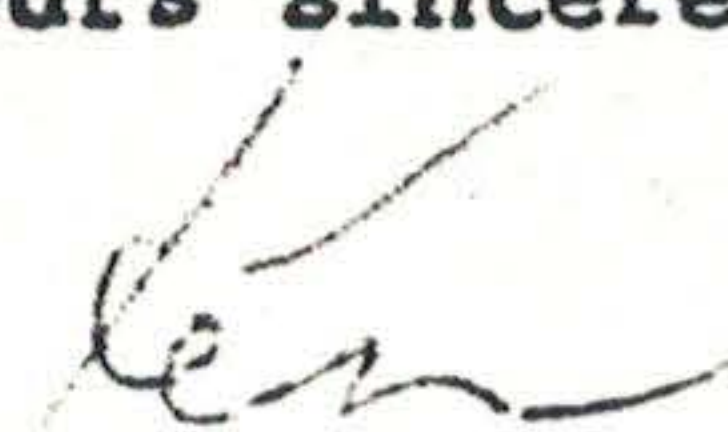
Dear Chester:

At its meeting on 10 October 1973, the Publications Commission adopted the International System (SI) of Units for use in AMS publications. The enclosed statement of policy and guidelines on usage of SI was prepared by our editorial staff as the first step in carrying out the policy decision. We plan to publish the statement in the August issue of the Bulletin, but first want to make certain it has the approval of the Editors. May we have your comments by June 10? We have also sent a copy to Commissioner Hilst for review.

As an earlier alert that SI units will become standard in the 1975 issues of AMS publications, the enclosed brief announcement is scheduled for the June issue of the Bulletin. Perhaps the Editor of each journal will want to write an editorial about the new policy for publication in his specific journal.

Although the enclosed guidelines call for rather strict adherence to SI, our Technical Editors believe that some tolerance of deviations would be in order initially, if you agree. Also, to save time in handling manuscripts that require conversion of units to SI, the Technical Editors suggest that the Editors call this requirement to the authors' attention in the acknowledgment letters or when transmitting the reviewers' comments instead of waiting until the manuscripts are ready for technical editing.

Yours sincerely,


Kenneth C. Spengler
Executive Director

KCS:jc
enclosures (2)



Monthly Weather Review

American Meteorological Society

copy MWR

1974 MAY 24 1974

Dr. Chester W. Newton, *Editor*
National Center for Atmospheric Research
P.O. Box ~~4470~~ 3000
Boulder, Colorado 80302 3
Telephone: 303-494-5151, Ext. 403

Harriett R. Newton, *Assistant Editor*

21 May 1974

Dr. Kenneth C. Spengler
Executive Director
American Meteorological Society
45 Beacon Street,
Boston, Massachusetts 02108

Dear Ken,

We have exhausted our financial resources. Since some of the postage charges have been mischarged in the mail room, we may even be in the red.

Would it be possible to send \$1000 instead of \$500 this time? I will send you a financial accounting as soon as possible-it has all been spent on postage and me (\$83.33 per month).

We are also wondering if it would be possible to obtain envelopes (both letter and manuscript size) with the AMS heading on the return address so that our customers will not associate the MWR with NCAR. It would also facilitate the problem in the mail room. Thank you.

Sincerely,

Harriet

Harriet R. Newton

1000 -
5/24/73

Approved by _____

Received _____

A33

May 29, 1974

Ms. Harriet R. Newton, Assistant Editor
Monthly Weather Review, American Meteorological
Society
National Center for Atmospheric Research
P.O. Box 3000
Boulder, Colorado 80303

Dear Harriet:

I suggest that you try to get the envelopes mentioned in the last paragraph of your letter of 21 May from a local jobber. The cost could be appropriately charged against your AMS funds. Instead of printing the return address directly on the manuscript-size envelopes, you may find it more economical to obtain mailing labels (printed with your return address) for use on plain envelopes purchased from an "off-the-shelf" source. A sample of the labels we use for such envelopes and for packages is enclosed.

I hope these suggestions will be helpful.

Yours sincerely,

Kenneth C. Spengler
Executive Director

KCS:jc
enclosure

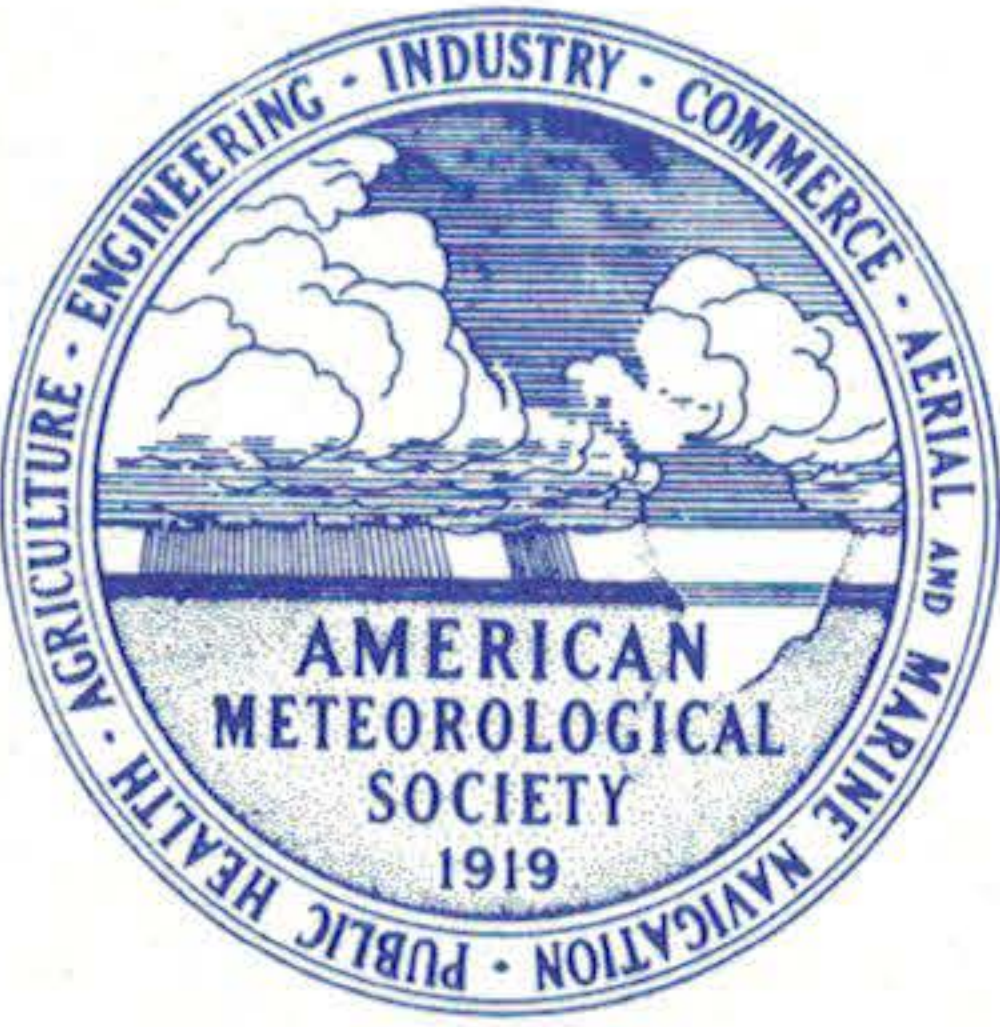
CERTIFICATION

I, David F. Landrigan, Secretary-Treasurer of the American Meteorological Society, certify that the Council of the American Meteorological Society on Mail Ballot dated August 7, 1973, voted to approve an agreement with the National Oceanic and Atmospheric Administration whereby the American Meteorological Society will assume responsibility for the continued publication of the Monthly Weather Review on the basis outlined in President Kellogg's report of July 31, 1973.

March 20, 1974

3/20/74

re blanks for requesting
2^d class permit for MWR.
Hpl & KCS talked about it
today. I believe KCS has the
forms. ✓ KCS took care of this.



AMERICAN METEOROLOGICAL SOCIETY

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KENNETH C. SPENGLER, EXECUTIVE DIRECTOR

August 7, 1973

MAIL BALLOT

Council of the American Meteorological Society

Gentlemen:

Enclosed herewith is a Report of the Executive Committee Meeting of July 13, 1973, to the AMS Council, dated July 31, 1973, from President Kellogg. Council approval is being requested on several matters referred to in President Kellogg's report, as follows:

1. Are you in favor of the Council delegating to the Executive Committee authority to

(1) approve an agreement with NOAA whereby the AMS will assume responsibility for the continued publication of the Monthly Weather Review on the basis outlined in President Kellogg's report of July 31, 1973?

Yes ☐

No ☐

(2) appoint an Editor for the Monthly Weather Review?

Yes ☐

No ☐

2. Are you in favor of appointing Dr. James R. Mahoney, Assistant Professor of Applied Meteorology, Harvard University School of Public Health, Editor of the Journal of Applied Meteorology for the remainder of Dr. Edward S. Epstein's term (it ends in January 1974) and, in addition, for a three-year term starting February 1, 1974?

Yes ☐

No ☐

3. Are you in favor of appointing Dr. Edward S. Epstein, Associate Administrator for Environmental Monitoring and Prediction, NOAA, Member-at-Large of the Publications Commission for the remainder of Dr. Chester W. Newton's term (it ends in January 1974) and, in addition, for a three-year term starting February 1, 1974?

Yes ☐

No ☐

August 7, 1973

4. A petition has been received to form a Student Chapter at Iowa State University. The requirements for the formation of a Chapter have been met. Are you in favor of the organization as a Chapter of the AMS of the Iowa State University Student Chapter?

Yes ☐

No ☐

Signature of Councilor

Date

PLEASE RETURN AS SOON AS POSSIBLE TO:

AMERICAN METEOROLOGICAL SOCIETY
Secretary-Treasurer
45 Beacon Street
Boston, Massachusetts 02108

AMERICAN METEOROLOGICAL SOCIETY

Tentative
Sept. 27, 1973

Minutes of the Executive Committee Meeting
September 26, 1973
Boston, Massachusetts

9:00 a.m. Present: President Kellogg, President-Elect Johnson, Past President Reed, Councilors Kotsch and McTaggart-Cowan, Executive Director Spengler and Secretary-Treasurer Landrigan.

1. The report submitted on Mail Ballots was as follows:

(a) To Executive Committee August 6, 1973 for approval of minutes of Executive Committee meeting of July 13, 1973: Approved.

(b) To Council August 7, 1973:

(1) Delegating authority to Executive Committee to make agreement with NOAA whereby AMS assumes responsibility of publication of Monthly Weather Review

(2) Delegating authority to Executive Committee to appoint Editor for Monthly Weather Review

(3) Appointment of Dr. James R. Mahoney Editor of JAM

(4) Appointment of Dr. Edward S. Epstein a Member-at-Large of Publications Commission

(5) Approval of petition to establish Iowa State University Student Chapter

The Council approved (1) through (5) inclusive.

2. Pending ethics cases were discussed. It was decided to await Chairman Booker's report before taking any action. Chairman Booker will be present at the Council meeting on October 12. He will be asked to brief the Executive Committee on Wednesday evening, September 10, 1973, on pending cases.

AMERICAN METEOROLOGICAL SOCIETY

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6/7/74

BOARD OF MONTHLY WEATHER REVIEW
1974

(AMS TOOK OVER PUBLICATION WITH FIRST 1974 ISSUE)

<u>Term</u> <u>Starts</u>	<u>Term</u> <u>Ends</u>
7/73,	12/31/73
then for a regular	
term as follows:	
1/1/74	12/31/76
same as above	

Dr. Chester W. Newton (Editor)
National Center for Atmospheric Research
P.O. Box 3000
Boulder, Colo. 80303

Ms. Harriet R. Newton (Assistant Editor)
1380 Bluebell Ave.
Boulder, Colo. 80303



AMERICAN METEOROLOGICAL SOCIETY

45 BEACON STREET, BOSTON, MASSACHUSETTS 02108

AREA CODE 617 227-2425

CABLE: ATMOSPHERE BOSTON

KENNETH C. SPENGLER, EXECUTIVE DIRECTOR

PROPOSAL FOR MONTHLY WEATHER REVIEW

This proposal requests consideration for a subvention to the American Meteorological Society in the amount of \$170,000, covering three calendar years (1973, 1974, 1975) in support of the journal Monthly Weather Review.

Background: On April 30, 1973, the National Oceanic and Atmospheric Administration (NOAA) requested that the American Meteorological Society (AMS) consider assuming responsibility for publishing the Monthly Weather Review (MWR). MWR is a meteorological journal that has been published continuously for more than 101 years by the United States Government.

First issued by the meteorological division of the Signal Service, U.S. Army, in July 1872, and continuing under the U.S. Weather Bureau (1891) and NOAA (1965), the Monthly Weather Review has traditionally served the scientific and technical requirements of meteorologists engaged primarily in weather and flood forecasting and severe storm warning for the general public and in specialized weather services for commerce, agriculture, aviation and public utilities. Since the development of mathematical forecasting techniques employing computers, during the 1940's and 1950's, the MWR has emerged as perhaps the world's leading journal publishing articles devoted to the application of numerical modelling to weather, climate and weather prediction. Practising meteorologists in both the public and private sectors, research meteorologists in the universities and in government agencies and laboratories, and the meteorological community in general thus have a strong interest in continued publication of articles of the type that characterize the MWR. All these groups are served by the AMS through its publication program and professional activities.

Publication Plan: The American Meteorological Society is uniquely qualified to continue publication of the MWR outside the government. It is a scientific society serving atmospheric and hydrospheric scientists throughout the world and it publishes the following journals:

- Journal of the Atmospheric Sciences (since 1944)
- Journal of Applied Meteorology (since 1962)
- Journal of Physical Oceanography (since 1971)
- Bulletin of the American Meteorological Society (since 1920)
- Meteorological and Geostrophysical Abstracts (since 1950)
- Meteorological Monographs (since 1947)

In addition, the AMS publishes numerous conference preprints and proceedings, historical monographs, books, glossaries, bibliographies, etc. The Society has the capability of providing the necessary editorial staff and supporting services to undertake publication of the MWR.

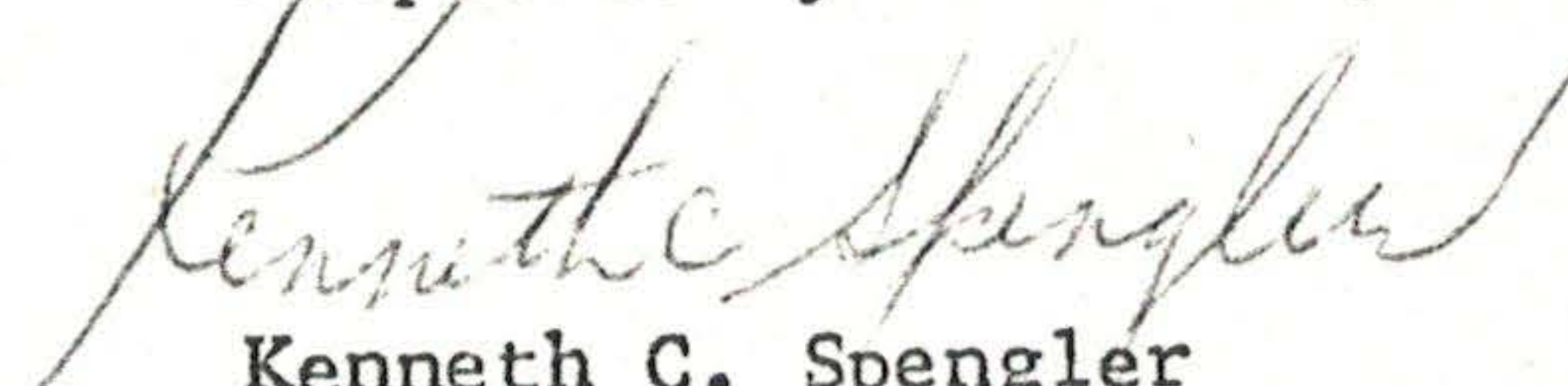
Publication of the MWR by the AMS insures that this journal will continue to serve the worldwide community of meteorologists. Content, number of pages, schedules and format will reflect current practices and policies to the extent possible. A conservative position has been taken on growth in number of subscriptions for the foreseeable future in the light of the experience of others who have participated in similar arrangements.

The editorial policy of the MWR will remain unchanged, except as it may be influenced over time by its affiliation with the other primary journals of the Society. Changes, if any, will be gradual and subject to approval of the meteorological community.

Cooperation between NOAA and the AMS during the transition will be required, such as has existed between the two organizations in numerous mutual undertakings over the years. This cooperation will include notification by NOAA or its representatives to current recipients of MWR of the change in publisher and access for the AMS to existing subscriber and other recipient lists.

Finances: Appendix A provides the details of estimates, including anticipated income and projected expenses. The estimate indicates the need for subvention in the amount of \$170,000 over the first three calendar years of publication by the AMS, the transition period from government sponsorship to the self-supporting status it must acquire with the AMS. Every effort will be made to make the journal self-supporting after calendar year 1976. In view of the cycle of editing and redacting that precedes each volume (calendar year) by several months, it is necessary that the grant or contract to the AMS should be effective as soon as possible and well before the beginning of the calendar year 1974. At the same time, the AMS realizes that publication of Volume 102 (1974) begins in the middle of the government fiscal year, and therefore suggests that payment(s) can be adjusted, as appropriate, to the fiscal year(s).

Respectfully submitted,


Kenneth C. Spengler
Executive Director

August 6, 1973

Appendix A

Estimates for MWR

	<u>CY 1974</u>	<u>CY 1975</u>	<u>CY 1976</u>	<u>CY 1977</u>
<u>Charges</u>				
AMS Member subscription	\$20	\$20	\$20	\$20
Non-Member subscription	60	60	60	60
Page Charge	60	60	70	70
<u>Number of subscriptions, etc.</u>				
AMS Member subscription	720	960	1170	1400
Non-Member subscription	900	1550	2050	2500
Pages published	1200	1800	2400	3000
Page Charges honored	(50%) 600	(60%) 1080	(70%) 1680	(80%) 2400
<u>Receipts</u>				
AMS Member subscriptions	\$ 14,400	\$ 19,200	\$ 23,400	\$ 28,000
Non-Member subscriptions	54,000	93,000	123,000	150,000
Page Charges	36,000	64,800	117,600	168,000
Total	<u>\$104,400</u>	<u>\$177,000</u>	<u>\$264,000</u>	<u>\$346,000</u>
<u>Costs</u>				
Direct salaries (editorial)	\$ 30,000	\$ 36,000	\$ 42,000	\$ 48,000
Printing	93,000	138,000	183,000	228,000
Mailing	12,000	18,000	24,000	30,000
Overhead (G.&A.) (44%)	59,400	40,000	40,000	40,000
Total	<u>\$194,400</u>	<u>\$232,000</u>	<u>\$289,000</u>	<u>\$346,000</u>
Subvention Needed	\$ 90,000	\$ 55,000	\$ 25,000	0

3.5

30

25

60

160



U.S. DEPARTMENT OF COMMERCE
National Oceanic and Atmospheric Administration
ENVIRONMENTAL DATA SERVICE
Washington, D.C. 20235

Reply to Attn. of: D8

July 5, 1973

Dr. Kenneth C. Spengler
Executive Director
American Meteorological Society
45 Beacon Street
Boston, Massachusetts 02108

Dear Ken:

The following summary of circulation data for the Monthly Weather Review as of May 31, 1973 may be helpful:

<u>Type of Circulation</u>	<u>No. of copies</u>
1. Subscriptions and miscellaneous sales by Superintendent of Documents -----	1500
2. Free and official distribution authorized by NOAA	1175
3. Free distribution to Depository Libraries by Superintendent of Documents -----	765
4. U.S. Air Force bulk order from Government Printing Office -----	226
5. Exchanged by NOAA for foreign publications -----	100
6. Archival copies for legal requirements (GPO files, Congress, etc.) -----	87
7. Sales by Department of Commerce -----	<u>25</u>
Total	3878

To assist you in analyzing these circulation data, I am enclosing the following MWR mailing lists provided by the Superintendent of Documents (received July 3, 1973):

<u>Type of list</u>	<u>No. of Address labels</u>	<u>No. of Copies</u>
1. Paid subscriptions:		
Domestic -----	659	673
Foreign -----	333	371
2. Free and official distribution ----	619	665
3. Depository Libraries -----	<u>725</u>	<u>725</u>
Total	2336	2434

The following comments explain some of the differences in the data in the preceding two tables:

1. The Superintendent of Documents mailing lists account for 1044 copies for subscribers (GPO's sales report for June 1973 indicated 1108 copies). The balance (446) of the 1500 (item 1, table 1) is attributed to "miscellaneous sales," but I have no independent check on such sales nor information on who buys the copies.
2. The Superintendent of Documents mailing lists account for 665 of the 1175 copies (item 2, table 1) that NOAA orders for free and official distribution. The balance (510) is delivered in bulk to NOAA for internal distribution, primarily in the D.C. area.
3. The Superintendent of Documents mailing lists account for 725 of the 765 depository libraries previously reported to be receiving the MWR. I have received no explanation for this difference but suspect the earlier number (765) was an estimate instead of an actual count. Note that the mailing lists give the address labels for all depository libraries but only those with a red check mark in the right margin receive the MWR.
4. The 226 copies for the U.S. Air Force are procured directly from GPO by USAF printing requisition ("rider" on NOAA's order) and are delivered in bulk to Scott Air Force Base for distribution in the Air Weather Service.
5. The Superintendent of Documents handles the mailing of the 100 copies NOAA orders for exchange for foreign publications. This mailing list was not delivered with the others as requested; I shall ask again for it.
6. The mailing list for the 87 copies for legal archival purposes is not available and probably would be of little value for AMS purposes.
7. The 25 copies sold by the Department of Commerce are "across the counter" and therefore the buyers cannot be identified.

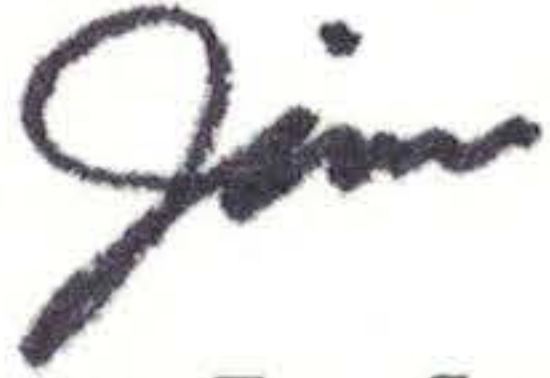
I hope the above information will be useful. I'll be glad to try to obtain answers to any questions you may have. In making the enclosed mailing lists available to the AMS, I want to ask that they not be used for any purposes inconsistent with the following conditions under which Superintendent of Documents released them to me:

"...For the [AMS] proposal to include realistic financial estimates in support of its plan to make the MWR self-sufficient under its auspices, the AMS needs to compare MWR subscription and distribution lists with the lists for current AMS journals as a measure of potential audiences and sales income.

"...The requested lists would be made available to the AMS or other organizations only on condition that the lists be used for no purpose other than determining the current audiences of MWR readers and eventually furnishing them new subscriptions information by the new publisher."

Copies of three recent consecutive issues of the MWR are also enclosed.

Sincerely yours,

A handwritten signature in dark ink, appearing to read "Jim", written in a cursive style.

James E. Caskey, Jr., Director
Environmental Science Information Center

Enclosures



U.S. DEPARTMENT OF COMMERCE
National Oceanic and Atmospheric Administration
Rockville, Md. 20852

ADx2

August 29, 1973

American Meteorological Society
45 Beacon Street
Boston, Massachusetts 02108

Subject: Grant 04-4-158-8

Gentlemen:

This grant 04-4-158-8 in the amount of \$60,000.00 transmitted in triplicate, is issued pursuant to the authority of Public Law 85-934 which authorizes grants for support of scientific research (42 U.S.C. 1891-1892), and will be effective upon its acceptance by the Society.

Grant 04-4-158-8 supports for a period beginning September 1, 1973 through June 30, 1974 Grantee's proposal entitled "Proposal for Monthly Weather Review" dated August 6, 1973. This proposal along with the budget submitted as Appendix A is hereby incorporated into the grant by reference. The scope of work to be performed by the Grantee is outlined in the Additional Provisions along with the reporting requirements. These reports are to be submitted to the Technical Monitor.

Dr. Kenneth C. Spengler is the Principal Investigator for the research to be supported by this grant. The Technical Monitor for the purpose of this grant is Mr. John O. Ellis, mailing address: Scientific and Technical Publication Division, Environmental Science Information Center, National Oceanic and Atmospheric Administration, Rockville, Maryland 20852.

The Accounting Code for this grant is DB0000 2E2411.

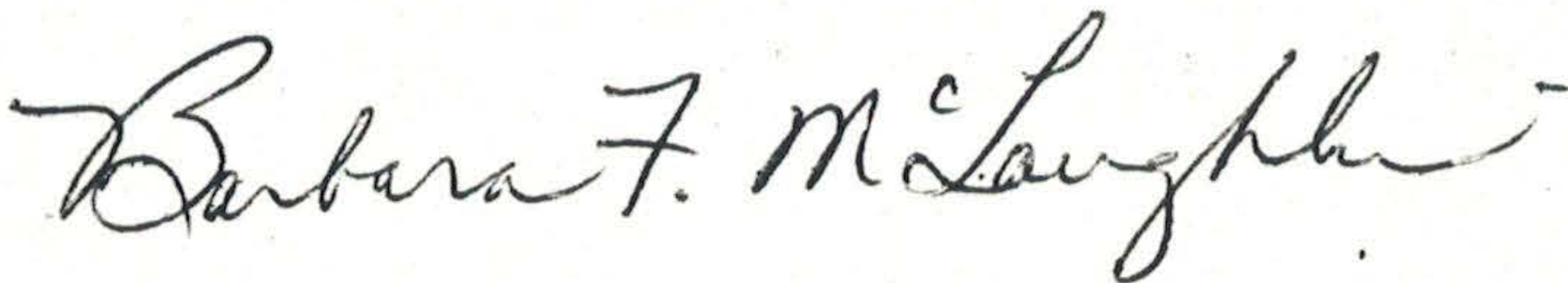
This grant incorporates the attachments identified as "General Provisions", "Additional Provision(s)", and "Department of Commerce Principles for Determining Costs Applicable to Grants and Contracts with Non-Profit Institutions".

2.

Cash advance will be made on the basis of your request submitted in accordance with General Provision No. 3 titled "Cash Advances". Financial reporting forms are enclosed to be used in requesting and reporting cash advances as explained in General Provision No. 4, "Financial Reporting Requirements".

Please sign and return two (2) copies to the U. S. Department of Commerce, National Oceanic and Atmospheric Administration (NOAA), 6010 Executive Boulevard, Rockville, Maryland 20852, Attention: ADx2.

Sincerely,



Barbara F. McLaughlin
Grants Officer

ACCEPTED FOR:

(Name of Grantee Organization)

By: _____

Title: _____

Date: _____

GRANT NO. 04-4-158-8

ADDITIONAL PROVISIONS

The terms of this Grant are made and entered into by and between the United States of America (hereinafter called the Government), represented by the Grants Management Officer, National Oceanic and Atmospheric Administration, U.S. Department of Commerce, Rockville, Maryland, and the American Meteorological Society, 45 Beacon Street, Boston, Massachusetts 02108 (hereinafter called the Grantee).

Whereas:

1. In the performance of its statutory functions the Government has established the need for a scientific journal relating to research and development in the atmospheric sciences in general and in meteorology and weather science in particular, and for 101 years has published such a journal under the title of Monthly Weather Review; and
2. The Government finds that non-Government authors are now producing more than half of the research articles being published by the Monthly Weather Review; and
3. The need for the journal can be more effectively and economically fulfilled through non-Government sponsorship, management, and publication of the Monthly Weather Review; and
4. The Grantee has the personnel, facilities, skill, and special knowledge necessary to produce such a journal; and
5. The Grantee is both willing and able to furnish the required personnel, facilities, skill, and special knowledge on a non-profit basis, provided the Government will participate in the initial costs of the undertaking,

Now, therefore, the Government accepts the Grantee's attached proposal dated August 6, 1973, entitled "Proposal for Monthly Weather Review," subject to the following terms:

I. Scope of Work

1. The Grantee shall:

- a. Become the owner and publisher of the journal, Monthly Weather Review;
- b. Assume all managerial responsibilities and furnish all things necessary to formulate, assemble, publish, and distribute the Monthly Weather Review beginning with the January 1974 issue (volume 102, number 1);

- c. Establish editorial policies for the journal, including appointment of editors and associate editors;
 - d. Maintain necessary production staff and establish administrative policies for operation of the publishing venture.
2. The Project Leader for the Grantee shall be Dr. Kenneth C. Spengler, Executive Director of the American Meteorological Society.
 3. The Grant Officer's Technical Representative shall be Mr. John O. Ellis, Scientific Editor, Scientific & Technical Publication Division, Environmental Science Information Center, Environmental Data Service, NOAA.
 4. The Grantee shall furnish the following reports to the Government as evidence of its compliance with the terms of this Grant:
 - a. Five (5) copies of each monthly issue of the Monthly Weather Review; and
 - b. An annual statement on or before February 15 of 1975, 1976, and 1977 showing actual costs and receipts, actual subscription rates and page charges, actual number of subscribers, actual number of pages published, and actual number of pages for which page charges were honored for each volume (calendar years 1974, 1975, and 1976).

II. Time and Amount of Grant

1. Subject to the provisions of paragraph 2 below, the Government intends to renew this Grant or to issue additional grants of approximately \$85,000 to meet in part the costs in Fiscal Year 1975 (July 1, 1974 through June 30, 1975) and \$25,000 in Fiscal Year 1976 (July 1, 1975 through June 30, 1976).
2. The Government's commitment to renew this Grant or to issue new grants under paragraph 1 above is subject to the following provisions:
 - a. The Government's participation in the initial costs of this publishing venture by the Grantee shall not be extended beyond Calendar Year 1976.

- b. The total amount of the Government's grants in support of this publishing venture during Fiscal Year 1974 through Fiscal Year 1976 shall not exceed \$170,000 and shall be further limited to any lesser amount sufficient to cover the deficit in income required to meet actual costs of the publishing venture.
- c. The Government's commitment to extend this Grant or to issue new grants in Fiscal Years 1975 and 1976 is conditioned upon the passage of an appropriation by the U.S. Congress from which expenditures thereunder may be made and shall not obligate the Government upon failure of the Congress to so appropriate.
- d. The Grantee shall make every effort to make the Monthly Weather Review a self-supporting, non-profit publishing venture after Calendar Year 1976. Toward this objective, the Grantee shall credit all receipts from individual (member and non-member) subscriptions and multiple-use subscriptions, from page charges, and from sale of advertising space to the overall cost of performance under this Grant.
- e. The Grantee shall accrue no profit or fixed fee from the income of this publishing venture or from its subvention by the Government's grants.

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION

U. S. DEPARTMENT OF COMMERCE

GENERAL PROVISIONS

APPLICABLE TO BASIC RESEARCH GRANTS

PROVISION NO.

TITLE

- | | |
|-----|--|
| 1. | General |
| 2. | Expenditures |
| 3. | Cash Advances |
| 4. | Financial Reporting Requirements |
| 5. | Access to Records and Right to Audit |
| 6. | Program Administration |
| 7. | Publication: Technical Reports |
| 8. | Officials Not to Benefit |
| 9. | Nondiscrimination |
| 10. | Federal Excess Personal Property Acquired
by Grantees |

1. GENERAL

- A. It is the policy of the National Oceanic and Atmospheric Administration that once a grant is made the principal investigator operating within the policies of the grantee institution is in the best position to determine the means by which the research may be conducted most effectively. Accordingly, the primary responsibility for the administration of any grant is shared by the grantee and the principal investigator. The National Oceanic and Atmospheric Administration does not wish to take any action which might diminish the responsibility of the grantee and the investigator for making sound scientific and administrative judgments. Grantees and investigators are encouraged to seek advice and opinion of the National Oceanic and Atmospheric Administration on problems that may arise. Unless otherwise stated, the giving of such advice should not imply that the responsibility for final decisions has shifted to the National Oceanic and Atmospheric Administration. The primary concern of the National Oceanic and Atmospheric Administration is that granted funds may be used in a manner which will make a maximum contribution to the progress of science. It is expected that grantees and investigators also will direct their efforts to this end.
- B. The National Oceanic and Atmospheric Administration also believes that the principal investigator operating within the established policies of the grantee institution should always feel free to pursue interesting and important leads which may arise during the conduct of the research. Therefore, the principal investigator may discontinue or materially modify unpromising lines of inquiry without fear of jeopardizing the continuance of support for the remainder of the grant period where it appears that the inquiry as originally envisaged will no longer be fruitful from a scientific standpoint. The National Oceanic and Atmospheric Administration has no desire to inhibit the intellectual curiosity and research initiative of the principal investigator; however, on such occasions when either new and promising leads or fruitless lines of inquiry do occur which may lead to major deviations from original research objectives, the National Oceanic and Atmospheric Administration should be informed of such deviations.
- C. Grant funds are contingent upon the availability of the principal investigator, designated in the grant letter, to direct the work. Should the principal investigator become unavailable for this purpose, NOAA reserves the right to review the status of the grant and to make such adjustments in grant terms as it may deem necessary at that time.

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2. EXPENDITURES

Stipends or salaries charged against grant funds should follow a scale which is consistent with the regular practices of the grantee institution.

Grant funds are not to be used to augment the total salary or rates of salary of faculty members of institutions of higher education during the period of time covered by the term of faculty appointment. As a general policy, the National Oceanic and Atmospheric Administration assumes that when research proposals are submitted by educational institutions, institutional policies are based on the premise that research is one of the normal functions of their faculty members. Thus, time spent on research is deemed to be included in the regular institutional salary of the faculty member and within the term of appointment. Research is not an extra function for which additional compensation or compensation at a higher rate should be requested.

Grant funds should not be used to reimburse for consulting or other time in addition to a regular institutional salary covering the same general period of employment. In all research undertakings supported by the National Oceanic and Atmospheric Administration through a basic research grant, the grantee institution is deemed to be the grantee and any work performed by faculty of the institution under such a basic research grant must be considered as for the institution. The fact that faculty members may engage in outside practice or consultation is not relevant.

Grant funds are not to be used to defray expenses as a direct cost of the grantee institution's contribution to employee benefits (social security, retirement, etc.) unless the usual accounting practices of the institution properly and consistently provide for such costs to be treated as direct cost.

Major items of equipment required which are itemized and described by the grantee institution in his original research proposal upon which this grant is based may be purchased with grant funds and unless the grant letter specified otherwise, title to equipment so purchased will vest in grantee institution. Major items of equipment not identified and described in the original research proposal are not to be purchases from grant funds until prior approval has been received from the National Oceanic and Atmospheric Administration. Grant funds are not to be used for purchase of "housekeeping" items such as desks, chairs, office equipment and supplies normally chargeable to overhead, unless special circumstances are involved and prior approval is obtained from the National Oceanic and Atmospheric Administration.

continuation (2. Expenditures)

Travel as identified and described by the grantee institution in this research proposal may be performed utilizing grant funds. The National Oceanic and Atmospheric Administration should be consulted prior to undertaking travel which represents a major deviation from the travel outlined in the original proposal submitted by the grantee institution or where the original proposal made no provisions for travel.

3. CASH ADVANCES

- A. Department of Commerce policy, implementing Treasury Department Circular No. 1075, dated April 10, 1969 (31 CFR Part 205), is to limit cash advances to grantees to those amounts needed to finance grantee's current operations. This policy, however, is not intended to burden grant administration and, therefore, requires consideration of the size of the amounts involved in the determination of the period of current operations, which in turn affects the frequency of cash advance processing actions. Accordingly, cash advance is authorized under this grant in accordance with the following:
1. When aggregate annual advances under a NOAA grant program total \$250,000 or more, the timing and amount of cash advanced to a grantee is intended to be as close to the grantee's actual daily disbursements under the specific NOAA grant program as is administratively feasible. The vehicle for advances shall be consistent with Treasury Department Circular No. 1075, and, unless already established with the NOAA Finance Division, establishment of a letter of credit account will generally be required accordingly. In the use of a letter of credit, the grantee agrees to (1) the practice of requesting cash drawdowns only as and when actually needed for its disbursements, and (2) timely reporting as required by the NOAA Administrator or his authorized representative for administration of cash advances under NOAA grant programs. Failure to adhere to these agreements may cause the unobligated (by the grantee) portion of the letter of credit to be revoked. The grantee shall initiate each drawdown at approximately the same time that checks are issued by the grantee in payment of program liabilities, and in an amount approximately equal to the Federal share of such payments, except that drawdowns shall not ordinarily be made more frequently than daily, or be in amounts less than \$10,000.
 2. When aggregate annual advances under a NOAA grant program total \$100,000 but less than \$250,000, amounts will be advanced monthly to meet the grantee's anticipated disbursement needs during the month under its grant(s) from a NOAA grant program. In requesting the amount of any but the initial advance, consideration shall be given by the grantee to the utilization of prior advances. (Accordingly, upward or downward revisions from month to month in the amount requested for monthly advance are to be made by the grantee whenever appropriate.)

3. (Cont'd)

3. When aggregate annual advances under a NOAA grant program total \$20,000 but less than \$100,000, amounts will ordinarily be advanced quarterly to meet the grantee's anticipated disbursement needs during the quarter under its grant(s) from a NOAA grant program. (However, if the NOAA Administrator, or his authorized representative for administration of cash advances under NOAA grant programs, determines that monthly advances would be more advantageous to the Government, advances shall be made in that manner.) In requesting the amount of any but the initial advance, consideration shall be given by the grantee to the utilization of prior advances. (Accordingly, upward and downward revisions from quarter to quarter in the amount requested for quarterly advance are to be made by the grantee whenever appropriate.)
4. When aggregate annual advances under a NOAA grant program total less than \$20,000, the initial advance will be limited to the grantee's anticipated disbursements for one year. For a grant or grants extending longer than one year, subsequent advances may fund the smaller of the remainder of the grant(s) or the estimated disbursements for the next year.

Under 2, 3 and (unless there are no anticipated disbursements beyond one year) 4, the size of an advance will be determined by the Government on the basis of the grantee's request and, except for the initial advance, information provided by the grantee concerning disbursements under previous advances, for the periods described.

- B. The grantee agrees that any cash advances which it may make under this grant to subgrantees shall conform substantially to the same standards of timing and amount as set forth in A. above.
- C. The grantee agrees that such reviews of its financial practices may be made as are necessary to insure against excessive withdrawals of cash from the Treasury, and to require such agreement by subgrantees to whom the grantee makes cash advances.
- D. Advances of funds must be deposited in the checking accounts maintained by the Grantee. In no case will the funds so advanced be comingled with the personal funds of any of the officials of the Grantee institution/organization, nor will any of the funds be deposited in personal bank accounts for disbursement by personal checks.

4. FINANCIAL REPORTING REQUIREMENTS

A. This clause prescribes requirements for grantees to report financial information to the Grants Officer and also the requirements for requesting advances and reimbursement when the letter of credit method is not used. Copies of the forms cited below are furnished with each grant award letter.

(1) Request for Advance or Reimbursement, Form CD-285

The "Request for Advance or Reimbursement" shall be used as the standard form to obtain advances for all nonconstruction grant programs when letters of credit are not used. When letters of credit are not used, grantees are authorized to submit request for advances according to the dollar amount of their grant as set forth in the Cash Advance clause provided that the advance amount represents the grantee's concurrent cash needs for disbursements made in behalf of the grant program. In determining the amount of an advance, consideration will be given to the utilization of prior advances. This form shall also be used by those grantees who choose to bill on a reimburseable basis.

(2) Financial Status Report, Form CD-287

Each grantee is required to use the form entitled "Financial Status Report" to report on the status of outlays and obligations for all nonconstruction grant programs. These reports are required quarterly (as of September 30, December 31, March 31 and June 30) not later than 30 days following the end of the reporting period. Reasonable extensions of time for reporting may be granted when requested by the grantee. Also, a final report (Financial Status Report) is required upon completion of the grant. The final report shall be submitted within 90 days after completion of the project or program.

(3) Report of Federal Cash Transactions, Form CD-286

To insure that NOAA forecasts its cash requirements accurately and monitors cash advanced to grantees, Forms CD-286 and CD-286a, Report of Federal Cash Transactions, are to be submitted as follows: (a) When advances are authorized on a monthly basis, the Report of Federal Cash Transactions shall be submitted by grantees with each Request for Advance, except for the initial advance request, to report disbursements relative to Treasury check advances. (b) In cases where authorized advances cover periods in excess of one month, the Federal Cash Transaction Report shall be submitted quarterly.

4. FINANCIAL REPORTING REQUIREMENTS (Continued)

The Form CD-286 will assist in determining the amount and timing of subsequent advances. The aforementioned requirement applies when aggregate annual advances total less than \$250,000. Grantees utilizing letter of credit for grants over \$250,000 shall submit Forms CD-286 and CD-286a quarterly (as of September 30, December 31, March 31, and June 30) not later than 20 days following the end of the reporting period.

- B. The report forms mentioned herein are to be submitted in an original and two copies to Grants Officer, National Oceanic and Atmospheric Administration, Rockville, Maryland 20852, Attention: ADx2.

5. ACCESS TO RECORDS AND RIGHT TO AUDIT

- A. The grantee agrees that the Comptroller General of the United States or any of his duly authorized representatives and the Secretary of Commerce or any of his duly authorized representatives shall, until the expiration of 3 years after expenditure of grant funds under this grant, have access to and the right to examine any directly pertinent books, documents, papers and records of the grantee involving transactions related to this grant. The grantee agrees to include the substance of this paragraph into all subgrants and contracts payable from grant funds in whole or in part.
- B. The grantee agrees that payment (s) made under this grant shall be subject to reduction for amounts charged thereto which are found on the basis of audit examination not to constitute allowable cost under this grant. The grantee shall refund by check payable to the U. S. Department of Commerce, NOAA, the amount of such reduction of payments under completed or terminated grants.

6. PROGRAM ADMINISTRATION

- A. The principal investigator, operating within the established policies of the Grantee institution, is responsible for the conduct of the research consistent with the general scheme of the proposal on which the grant is based. Investigators are encouraged to seek the advice and opinion of the Grant Officer's Technical Representative (GOTR) identified in the grant letter on problems that may arise. Such advice shall not relieve the principal investigator of his responsibility for total program direction.
- B. It is expected that grant funds will be expended in a manner which will be the most advantageous in the pursuit of research goals. Therefore, funds may be used for the proposed program without strict adherence to the grant proposal budget; however, when major deviations to elements of the grant proposal budget are contemplated, notice thereof and requests for approval should be submitted in writing to the GOTR. While the principal investigator may change the directions of research inquiry when changes seem advantageous, the Grantee institution shall give full consideration to the effects of any resulting budget reallocations on the matching and indirect cost portions of the budget since permissible or approved departure from the grant proposal budget do not increase the amount of the grant.
- C. The grant proposal budget and grant period of performance are intended to be interrelated. However, in the event that the expenditure of effort (and related costs) is at a rate less than that contemplated at the time of grant issue or if in other respects progress of the grant research is delayed, and the grantee desires an extension of the grant period during which grant funds are to be expended, such requests (for a reasonable extension of the grant period) shall generally be approved and the grant period extended accordingly.
- D. Although the award of the grant is always intended to be for the full period of performance, there is a possibility that the interests of the Government may necessitate partial or complete termination at an earlier time and, therefore, the Government reserves the right of termination. In the event such a possibility arises, wherever feasible prior to the issue of any notice of termination, the principle investigator and other appropriate grantee representatives will be consulted and the circumstances necessitating the proposed termination discussed. If the notice of termination must nevertheless be issued, it will wherever appropriate reflect the grantee's advice respecting the extent to which performance of work under the grant is to be terminated and the date(s) upon which the termination becomes effective, so as to avoid cancellation of outstanding grantee commitments which would not be in the best interests of the Government, including circumstances where such cancellation would result in grantee administrative expense and efforts, for example relating to settlement of vendor cancellation claims, which would exceed the benefits of cancellation. The cost principles applicable to this grant will apply to costs under this grant if terminated. Amounts previously paid to the grantee which are no longer required under the terminated grant will be refunded by check made payable to the U. S. Department of Commerce, National Oceanic and Atmospheric Administration.

7. PUBLICATION; TECHNICAL REPORTS

- A. Whenever possible, the results of the research should be published in the open scientific literature in such a way as to be generally available to American scientific libraries. The principal investigators are free to choose the place of publication in the best scientific interest. In such publications, acknowledgement shall be made of Federal Government sponsorship. This may be done by a footnote reading, "This work was performed under the sponsorship of the U.S. Department of Commerce, National Oceanic & Atmospheric Administration, " or words to this effect. If the publication is copyrighted, the statement, "Reproduction of this article, with the customary credit to the source, is permitted," shall be added.
- B. Interim results of research should be reported to the COTR whenever a suitable stage of the program has been reached, but in no case less than once every year. Manuscripts intended for publication may be used for this purpose. If these are not available at the required time, special interim reports should be prepared. In addition, frequent informal communication by correspondence with the COTR concerning progress of research is encouraged. At the end of the program, a final report summarizing the entire work is required to be provided to the COTR, in the number of copies stated in the grant letter. The grantee shall hold and save the Government and its employees harmless from liability of any nature or kind, including costs and expenses, in connection with grant technical reports, published or unpublished.
- C. The grantee grants to the Government royalty-free license and rights to publish, translate, reproduce, deliver, and dispose of all data, including reports, drawings, blueprints, and other technical information which are produced under this research grant.

8. OFFICIALS NOT TO BENEFIT

No member of or delegate to Congress, or resident Commissioner, shall be admitted to any share or part of this grant or to any benefit that may arise therefrom; but this provision shall not be construed to extend to this grant if made with a corporation, educational, or non-profit institution for its general benefit.

9. NONDISCRIMINATION

The Grantee assures that the program supported by the grant will be conducted in compliance Title VI of the Civil Rights Act of 1964 (42 U.S.C. 200Cd-4) and the requirements imposed by the Regulations of the Department of Commerce (30 Fed. Reg. 305; 15 CFR Part 8) issued pursuant to that Title, applicable and appropriate to the program supported by the grant. These assurances are consistent with the executed "Assurance of Compliance" submitted with the grant application or, if not submitted with the application, submitted as a condition to the grant becoming effective.

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10. FEDERAL EXCESS PERSONAL PROPERTY ACQUIRED BY GRANTEES

TITLE VESTING:

Unless otherwise stated in the terms of the Grant for the betterment of the projects or programs concerned the title to all nonexpendable personal property acquired for use in the performance of a specific Grant shall be vested in the National Oceanic and Atmospheric Administration. Expendable property acquired will normally be consumed in use during the term(s) of the Grant and will not be inventoried. In all cases only the items needed will be approved for acquisition and stockpiling will not be permitted.

PROPERTY ACCOUNTING:

The property inventory will be maintained by processing the data into NOAA's Property Accounting Management System. It will be recorded in Loan Status and subject to all accounting procedures currently in effect in NOAA's Directives Manual, Chapter 37. Statements of Inventories will be mailed annually for the purpose of conducting a physical inventory to verify the existence of the property and to determine the continued need of the items.

USE AND DISPOSITION:

The Grantee shall use the Federal Excess Property in the project or program for which it was provided whether or not the function continues to be supported by a Federal Grant. When there is no longer a need for the property in the specific project or program it should be reported to the NOAA, Grants Management Officer. The property should be held in safekeeping by the Grantee until disposition instructions are received from the Property and Supply Branch.

The following paragraphs are substituted, per Transmittal Memorandum No. 1 dated March 30, 1971, for identically numbered paragraphs included in OMB Circular No. A-21, Revised September 2, 1970.

J.3 CAPITAL EXPENDITURES. The costs of equipment, buildings, and repairs which materially increase the value of useful life of buildings or equipment, are unallowable except as provided for in the research agreement. Government funds shall not be used for the acquisition of land, or any interest therein, except with the specific prior approval of the sponsoring agency.

J.13 EQUIPMENT AND OTHER FACILITIES. The cost of permanent equipment or other facilities are allowable where such purchases are approved by the sponsoring agency concerned or provided for by the terms of the research agreement. Total expenditures for permanent equipment may not exceed 125 percent of the amount allotted for the permanent equipment category, by the sponsoring agency (through an approved budget or other document) except with approval. The term "permanent equipment" shall mean an item of property which has an acquisition cost of \$200 or more and has an expected service life of one year or more.

a. GENERAL PURPOSE EQUIPMENT. Approval must be obtained to acquire with Government funds any general purpose permanent equipment, i.e., any items which are usable for activities of the institution other than research, such as office equipment and furnishings, air conditioning, reproduction or printing equipment, motor vehicles, etc., or any automatic data processing equipment.

b. RESEARCH EQUIPMENT. Approval must be obtained to acquire with Government funds any item of permanent research equipment costing \$1,000 or more.

J.44 TRAVEL COSTS.

a. Travel costs are the expenses for transportation, lodging, subsistence, and related items incurred by employees who are in travel status on official business of the institution. Such costs may be charged on an actual basis, on a per diem or mileage basis in lieu of actual costs incurred, or on a combination of the two, provided the method used is applied to an entire trip and not to selected days of the trip, and results in charges consistent with those normally allowed by the institution in its regular operations.

b. Travel costs are allowable subject to c., d., e., and f. below, when they are directly attributable to specific work under a research agreement or are incurred in the normal course of administration of the institution or a department or research program thereof.

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b. Travel costs are allowable subject to c., d., e., and f. below, when they are directly attributable to specific work under a research agreement or are incurred in the normal course of administration of the institution or a department or research program thereof.

- c. The difference in cost between first-class air accommodations and less than first-class accommodations is unallowable except when less than first-class air accommodations are not reasonably available to meet necessary mission requirements, such as where less than first-class accommodations would (1) require circuitous routing, (2) require travel during unreasonable hours, (3) greatly increase the duration of the flight, (4) result in additional costs which would offset the transportation savings, or (5) offer accommodations which are not reasonably adequate for the medical needs of the traveler.
- d. Costs of personnel movements of a special or mass nature are allowable only when authorized or approved in writing by the sponsoring agency or its authorized representative.
- e. Foreign travel costs are allowable only when the travel has received specific prior approval. Each separate foreign trip must be specifically approved. For purposes of this provision, foreign travel is defined as "an travel outside of Canada and the United States and its territories and possessions".
- f. Expenditures for domestic travel may not exceed \$500, or 125 percent of the amount allotted for such travel by the sponsoring agency, whichever is greater, except with approval.

REC'D SEP 10 1973



U.S. DEPARTMENT OF COMMERCE
National Oceanic and Atmospheric Administration
ENVIRONMENTAL DATA SERVICE
Washington, D.C. 20235

Reply to Attn. of: D8

September 7, 1973

Mr. John R. Gerhardt, Technical Editor
American Meteorological Society
45 Beacon Street
Boston, Massachusetts 02108

Dear John:

Thanks for your letter of August 31 sending the copy of the Society ad on the Monthly Weather Review. As you will see, we have used much of the information in composing our announcement (copy enclosed) to be run in the Monthly Weather Review beginning with the earliest possible issue and continuing through the December 1973 issue. Please call me if you question anything in our announcement.

We are also sending a copy of our announcement to the Superintendent of Documents with the suggestion that he distribute the information directly to his Monthly Weather Review mailing lists.

Sincerely yours,

A handwritten signature in cursive script, appearing to read "Jim", is written over the typed name.

James E. Caskey, Jr., Director
Environmental Science Information Center

Enclosure

URGENT NOTICE TO AUTHORS AND SUBSCRIBERS

The National Oceanic and Atmospheric Administration announces that the Monthly Weather Review will become a publication of the American Meteorological Society beginning with Volume 102, No. 1, January 1974. During 101 years of publication by NOAA and its predecessors, the Monthly Weather Review has served as a medium for meteorological information originating both within and outside the Federal Government; in recent years, as a research journal, its contributors have been a representative cross-section of the entire meteorological community, both national and international; now more than half of the authors have non-NOAA affiliations. Under these circumstances, NOAA has concluded that the public interest would be better served by a Monthly Weather Review under non-Government sponsorship.

The American Meteorological Society, as a major scientific society and publisher of several important journals serving atmospheric and hydro-spheric scientists throughout the world, is uniquely qualified to continue publication of the Monthly Weather Review. Under the editorship of Chester W. Newton, the Monthly Weather Review will continue its basic emphases on the meteorological topics of weather observation, analysis and forecasting, and instrumentation. For further information the reader is referred to the August 1973 issue of the Bulletin of the American Meteorological Society.

Information for Authors

The American Meteorological Society announces that henceforth manuscripts (Articles and Notes or Correspondence) for the Monthly Weather Review should be submitted to Dr. Chester W. Newton, Editor, Monthly Weather Review, National Center for Atmospheric Research, P.O. Box 1470, Boulder, Colo. 80302 (phone: 303-494-5151). Authors may be members or non-members of the Society, and of any nationality, but only manuscripts in the English language can be accepted. Reference should be made to current issues of the Journal of the Atmospheric Sciences, Journal of Applied Meteorology, or Journal of Physical Oceanography for guidance in the preparation of papers. Authors' institutions will be requested to pay a publication page charge in conformance with the current rate for all Society journals.

Information for Subscribers

The December 1973 Monthly Weather Review will be the last issue available from the Superintendent of Documents; he will make an adjustment on any present subscription that extends beyond that issue.

Subscription orders beginning with the January 1974 issue should be submitted to the American Meteorological Society, 45 Beacon Street, Boston, Mass. 02108. The Society announces that the Monthly Weather Review will be available on a calendar year subscription-only basis at an annual rate of \$60 (\$20 to AMS members). The single issue price will be \$6 (\$3 to AMS members). ~~An additional postage fee of \$3 is required for each subscription mailed outside the United States.~~