

OCT 3 1 2017

MEMORANDUM FOR ELLEN HERBST

FROM:

Stephen Kunze

Deputy Chief Financial Officer

and Director for Financial Management

THROUGH:

Lisa Casias

Deputy Assistant Secretary for Administration

SUBJECT:

Waiver and Approval for NOAA to Attend the 2017 Annual American

Geophysical Union (AGU) Fall Meeting

A waiver to the Department's policy on conferences is required for NOAA to spend an estimated \$625,411 to send 216 NOAA members and affiliates to the 2017 Annual American Geophysical Union (AGU) Fall Meeting.

BACKGROUND:

The Department's conference policy directs that agencies shall not incur expenses in excess of \$500,000 on a single conference from its own funds, including conferences that are hosted or cohosted by the agency or by other Federal or non-Federal entities. The designated official may provide a waiver from this policy if he or she determines that exceptional circumstances exist whereby spending in excess of \$500,000 on a single conference is the most cost-effective option to achieve a compelling purpose. The basis for any such approval must be documented in writing by the designated agency official.

In accordance with the July 12, 2017, memorandum from Deputy Chief Financial Officer and Director for Financial Management, approval of conferences in excess of \$200,000 has been delegated to the Chief Financial Officer and Assistant Secretary for Administration for a pilot period of August 1, 2017 through December 31, 2017.

The Department has strong internal procedures for conference pre-approvals. Events with estimated net costs of \$200,000 or more require pre-approval by the CFO/ASA; events with estimated net costs of \$500,000 or more must be accompanied by a waiver. However, OMB 17-08 does not require the waiver, but the Department will continue to request the waiver as part of the conference approval process.

NOAA is requesting approval to expend an estimated \$625,411 to send 214 employees and 2 invitational travelers to attend the AGU Fall Meeting.

In submitting this waiver request, NOAA has indicated that the AGU Fall Meeting offers a forum for the advancement of science through the presentation and discussion of new scientific discoveries

among the leading scientific minds of our time. The presentations and discussion range from quantification of the processes in the atmosphere and ocean that govern weather and climate to next-generation climate model projections of future change from seasons to century. The AGU Fall Meeting provides an important venue for NOAA scientists to exchange ideas with members of the United States and international research communities, and to bring back the resulting new knowledge to incorporate into the environmental intelligence provided by NOAA to inform decision-making.

The AGU Fall Meeting is of the highest importance and priority to the effective operations and conduct of NOAA's mission science. Attendance by NOAA's young scientific professionals provides crucial career opportunities that promote training and education toward excellence in the next generation of leaders and innovators in a diverse array of scientific disciplines.

NOAA Line Offices have carefully scrutinized all other travel for FY 2018 and made appropriate decisions on reductions elsewhere in order to meet the FY 2018 travel reduction targets and carry out the travel contained in this request. Since the mission of AGU aligns with DOC's strategy to foster new international collaborations based on NOAA's bilateral agreements and common scientific challenges, NOAA management used the following several factors while evaluating its participation to meet mission requirements:

- NOAA plays prominent leadership roles in the AGU organization and its participation is important to maintaining its partnerships. It is critical for NOAA scientists to exchange information about their findings with other leading scientists, thereby adding to the stature of NOAA as a leader in using science to inform the public.
- AGU will address topics of importance to the majority of atmospheric chemistry, meteorology, climatology, hydrology, oceanography, biogeochemistry, ecology, physics, geomorphology, social science, risk assessment, space weather, air quality, data assimilation, remote sensing, science communication, and modeling.
- No other conferences or professional organizational meetings during the year cover the same broad range of gravity, earth rotation, geoid models and methods of data collection and bring together the same diverse collection by NOAA's seasoned and young scientific professionals as AGU.
- Attending the AGU Fall Meeting is essential to maintain insight, intuition, and judgment in making decisions that guide NOAA research and operations for the coming year.
- AGU serves as a collection of meetings in one venue and NOAA has determined that attendance at the conference is the most cost-effective option to achieve a compelling purpose.
- The list of attendees and a limited number of invited affiliates have been carefully scrutinized to ensure the personnel selected to attend would provide the most benefit to NOAA.

The AGU provides the opportunity for NOAA scientists to inform others about what they are doing to support NOAA's mission, thereby adding to the stature of NOAA as a leader in using science to inform the public. The exchange of information and exposure to new ideas will enhance NOAA research, thereby enabling the agency to carry out its mission more effectively. Participation in this

meeting will foster new international collaborations based on our bilateral agreements and common scientific challenges and will ensure that NOAA science stays current and cutting-edge.

Presenting scientific results at meetings by early, mid, and senior scientists is an essential aspect of reaching career goals. For those not presenting, there is justification based on learning and networking with like-minded colleagues, as noted above. Specifically, there will be more than 1,700 sessions, and 300 exhibits that offer the latest scientific innovations that may support NOAA's mission.

STATEMENT OF URGENCY:

NOAA requests approval by October 27, 2017 in order to take advantage of the early bird registration rates, which could save the federal government over \$20,000 in travel costs. However, pre-registration rates will be extended throughout the Fall Meeting for Federal Government attendees, therefore, the statement of urgency is rendered unnecessary.

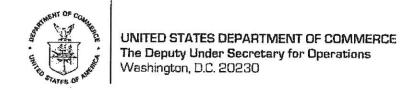
RECOMMENDATION:

I recommend you approve the waiver for single conference expenditures over \$500,000 to allow NOAA to spend \$625,411 (estimate) to send 216 representatives to the 2017 American Geophysical Union Meeting, December 11-15, 2017, in New Orleans, Louisiana.

approved with addition of NOAA notifying attenders of allowable activities as federale gov employees attending the event.

CFO/ASA'S DECISION

Approval of waiver to expend \$625,411 (estimate) f American Geophysical Union Meeting, in New Orle	
I approve the waiver to expend \$625,411 (estimated) for 216 NOAA representatives to	
the 2017 American Geophysical Union Fall Meeting in New Orleans,	
Louisiana, December 11-15, 2017.	
I do not approve the waiver to expend \$625,411 (estimated) for 216 NOAA representatives to the 2017 American Geophysical Union Fall Meeting in New Orleans, Louisiana, December 11-15, 2017.	
I approve as amended the waiver to expend \$625,411 (estimated) for 216 NOAA representatives to the 2017 American Geophysical Union Fall Meeting in New Orleans, Louisiana, December 11-15,2017.	Daslasias DASA, performing the non-exclusive duties of CFO/AS,
I would like to discuss this issue	



OCT 0 6 2017

MEMORANDUM FOR:

Ellen Herbst

Chief Financial Officer

and Assistant Secretary for Administration

FROM:

Ben Friedman

Deputy Under Secretary for Operations

SUBJECT:

NOAA Approval for the 2017 American Geophysical Union Fall

Meeting

The purpose of the 2017 American Geophysical Union's (AGU) Fall Meeting is to bring together the Earth and Space sciences community for discussions of emerging trends and the latest research. The technical program includes presentations on new and cutting edge science, much of which has not yet been published. With more than 1,700 sessions, this year's AGU Fall Meeting's scientific program offers a unique mix of more than 23,000 oral and poster presentations, a broad range of general sessions, more than 50 formal and informal networking and career advancement opportunities, and an exhibit hall packed with nearly 300 exhibitors showcasing new and relevant research tools and services that could help scientists and researchers streamline their work. The world's leading scientists in a wide range of scientific disciplines congregate to focus on presenting scientific findings and exploring potential new frontiers of scientific pursuit.

The event is fundamental to accomplishing NOAA's mission of Science, Service and Stewardship. The AGU Fall Meeting encompasses a comprehensive breadth of scientific activities in which NOAA regularly engages and/or leads in the national and international scientific arenas. The subjects addressed directly relate to the real-world applications of NOAA's Strategic Plan and NOAA's Strategic Goals.

Examples of scientific topics that will be represented at AGU include the following: atmospheric chemistry, meteorology, climatology, hydrology, oceanography, biogeochemistry, ecology, physics, geomorphology, social science, risk assessment, space weather, air quality, data assimilation, remote sensing, science communication, and modeling.



We approve the 2017 American Geophysical Union Meeting occurring December 11-15, 2017 at an estimated cost of approximately \$625,411.00 and confirm this event is mission critical.

Additionally, we certify to the Department that:

- conference expenses and activities comply with the Federal Travel Regulations (FTR) directives and executive branch policies on conferences as well as the Federal Acquisition Regulation (FAR) requirements on lodging, food and beverages, per diem reimbursement, and contracting of goods and services;
- no federal funds are used for unnecessary or inappropriate purposes;
- conference attendance and expenses are limited to only the levels required to carry out the mission of the conference; and
- conference attendance and expenses are in compliance with all applicable Appropriations
 Act language and with the Office and Management and Budget Memorandum 17-08
 dated November 25, 2016, and other authorities and guidance.

If you have any questions, we are available to discuss at your convenience.

Attachments

Transmittal Form
Conference Synopsis
Conference Costs Workbook
Conference Costs Breakdown
Conference Group Travel Package

U.S. DEPARTMENT OF COMMERCE NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION CONFERENCE APPROVAL TRANSMITTAL FORM

Conference Title: 2017 American Geophysical Union Meeting (AGU)

Conference Dates: December 11 - 15, 2046 2017

Line/Staff Office: OAR

Total Conference Estimate: \$ 625,411.09 # Attendees: 216 Name Title Signature Date BBnoadus 8/17/17 2/11 8/1/1, Sernadette Broadus **OAR Travel Team** Acting OAR Chief Financial **David Holst** Officer Deputy Assistant Administrator for Ko Barrett Programs and Administration CARTWRIGHT.CHRISTOPHER. Politally signed by CARTWRIGHT.CHRISTOPHER. 1365832702 PM: cut.S, cut.US, cut.US, Conveniment, on 2000, out PKI, out-OTHER, out-CARTWRIGHT.CHRISTOPHER.1365832702 cnt-CARTWRIGHT.CHRISTOPHER.1365832702 cnt-CARTWRIGHT.CHRISTOPHER.1365832702 cnt-CARTWRIGHT.CHRISTOPHER.1365832702 Chris Carturight **NOAA Budget Officer** SEILER.MARK.N.1 Digitally signed by SEILER.MARK.N.1503253336 DN: c=U.S. Government, ou=DoD, Mark Seiler **NDAA CFO** ou=PKI, ou=OTHER, cn=SEILER.MARK.N.1503253336 503253336 Date: 2017.10.05 15:04:59 -04'00' Ben Friedman NOAA DUS/O

Notes:



Department of Commerce Conference Checklist

1. Conference Tracking No.	NOAA-2018-342 Date 8/23/17			8/23/17		
* 2. Bureau	National Oceanic & Atmospheric Administration (NOAA)					
3. Division	Office of Oceanic and Atmospheric Research (OAR)					
4. Name	Bernadet	Bernadette Broadus				
5. Email	Bernadet	Bernadette.Broadus@noaa.gov				
6. Phone	301-734-1286					
7. Alternate POC	michael.hargis@noaa.gov					
* 8. Is this conference listed in y	ce listed in your Annual Plan? Yes No O					
If no, explain					28 13113 927 728	
* 9. Mission Critical	Yes C	O No O		* 10. Funds Oblig	gated	Yes <u>O</u> No <u>O</u>
11. Type of Conference		Hosted Sponsored	Co-Host Co-S	ed Attended	1 🗸	
12. Co-Sponsors		27 70				
* 13. Frequency		Recurring (T	hreshold)	O Recurring (Pos	t Review) O	Non-Recurring O
14. Official Conference Title	ial Conference Title 2017 American Geophysical Union Fall Meeting					
15. Purpose/Synopsis (if addition	onal space	is required, use #	24)			
The 2017 American Geophysical Union (AGU) Fall Meeting will offer a unique mix of more than 20,000 oral and poster presentations, a broad range of keynote lectures, various types of formal and informal networking and career advancement opportunities, scientific field trips around New Orleans, and an exhibit hall packed with hundreds of exhibitors. This meeting brings together the entire Earth and space science community from across the globe for discussions of emerging trends and the latest research. The technical program includes presentations on new and cutting-edge science you can't get anywhere else. The Fall Meeting offers something for everyone, from every scientific discipline, including the opportunity to:						
Hear about a variety of relevant scientific topics Gain research inspiration from a new location Listen to top-notch speakers Stay up to date on the latest innovations in the field Build relationships with peers Gain visibility and recognition of your work						
There are two invitational travelers - Abigail Koss and Agnieszka Straus. There will be sessions on gas phases, modeling physical oceanography, air-sea interactions and climate, ocean acidification, the effects of climate change on marine ecosystems and harmful algae blooms. NOAA's Office of Oceanic and Atmospheric Research (OAR) has labs and program offices that have world leaders in conducting research in these areas, and it is critical for OAR scientists and those whom they work closely with to be able to present their work, attend presentations and discuss findings with their colleagues. This could also lead to future collaborations across sectors and internationally, which would strengthen OAR's research portfolio."						
16. Start Date	12/11/2017		17. End Date	1	12/15/2017	
18. # of Conference Days		5	19. # o	f Travel Days		2
20. Location (City/State) New Orleans, LA						
21. Facility Name	21. Facility Name New Orleans Ernest N. Morial Convention Center					
* 22. Federal Facility	Yes	O No O				
If not a Federal Facility, Explain	f not a Federal Facility, Explain The location of this meeting was chosen by AGU					
23. Conference Website http://fallmeeting.agu.org/2017/						

24. Reception(s)/Special Event(s) (List Event & Date(s)) Yes O	No <u>O</u>	A DATE OF THE PARTY OF THE PART
 Monday, December 11th, 2017 (evening) – Icebreaker reception No federal funds will be used to procure alcohol. Tuesday, December 12th, 2017- Section and Focus Group Reception and Busin Opportunities to connect with peers and meet new colleagues Wednesday, December 13th, 2017 - Honors Ceremony and Banquet Recognize and celebrate the achievements of your peers on Wednesday, 13 Dece Banquet will celebrate the 2017 AGU Union Fellows, Medals, Awards, and Prize re event and tickets must be purchased separate from the registration fee. There will be numerous Town Halls during the course of the week, but dates will not 	ember. Directly following the Honors ecipients. A full course dinner will be	served. This is a ticketed
25. Alcohol Provided Yes O No O		
If yes, how will it be funded?		
26. Does this conference require Post Approval?	Yes <u>O</u> No <u>O</u>	
The reason for Post-Approval Cost Variance	Optics	
Provide Explanation		
27. Number of Attendees	Estimated	Actual
Commerce Attendees	214	
Other Federal Attendees		
Non-Federal Attendees		
Federal Invitational Attendees		
Non-Federal Invitational Attendees	2	
Total Number of Attendees	216	0
28. Attendees Cost		and a
Common Carrier Transportation	\$ 126,170	
Local Transportation	\$ 32,415	
Lodging	\$ 187,980	1004
Full Meals & Incidental Expenses (M&IE) for Attendees	\$ 83,776	
29. Food/Meals I	Provided	
Breakfast		Al age
Lunch		
Dinner		
M&IE provided subtotal	\$0	\$0
Reduced M&IE Total	\$83,776	\$0
Registration Fees	\$ 128,520	
Miscellaneous Cost	\$ 22,550	
Total Attendees Cost	\$ 581,411	\$ 0
30. Other Conference-Related Cost	Estimated	Actual
Meeting Space Rental	\$ 12,000	
Audio Visual Equipment and Service	\$ 10,000	
Conference Planner		
Trainer/Instructor/Facilitator		

Printing Des	sign Work		
Other Cost (Itemi	ze Below)		
Carpet and Carpet Padding		\$ 2,50	0
Booth furnishings, electrical and internet services		\$ 12,50	0
 Material handling, labor and exhibit freight cost 	s	\$ 7,00	0
Total Conference	ence Cost	\$ 625,41	1 \$0
Average Cost per	attendee	\$ 2,89	5
31. Cost Comments/Miscellaneous Cost Description			
Check baggage and ATM fees In additional to attending, NOAA will be participating as an exhibitor furnishing, carpet with padding, electrical, internet services, material			ırchase exhibit space, booth
32. Procurement Method: Appr	opriated	Non-Appropriated	
Provide Description N/A			
33. Contract awarded before conference approval?		Yes O No	0
34. Contract awarded on a competitive basis?		Yes O N	o <u>O</u>
Comments		Estimated	Actual
Gran	t Funding		
	Funding		
	Funding		
Total non-DOC		\$(\$0
Funding Description			
35. Additional Comments/Remarks These invitational travelers, both scientists in NOAA OAR's Chemica	I Calamana Divisi	ion (CCD) at the time this re-	

General Review Section	Yes	No
1. Are Bureau Memos, Attestations complete, and included for the Conference threshold?	0	0
If no, explain.		
2. Is there an early registration date or expedient approval required for cost reduction?	0	0
If yes, provide the date and explain. We would save close to \$23K on registration fees if this package is approved by the early registration deadline of November 3rd.		
3. Is the per diem within allowable limits? If not, is the necessary justification for approval included in the package? GSA Per-Diem Rates DOD Per-Diem Rates State Department Per-Diem Rates	0	0
Provide Explanation.		
4. Are meals provided at the conference? If yes, are travelers aware of M&IE reduction?	0	0
If no, explain. No meals are provided		
5. Is there a copy of the conference agenda in the package?	0	0
If no, explain.		
6. Has pre-approval been granted for sponsorship or agreements?	0	0
If no, explain. There are no sponsorships or agreements for this conference.		
7. If any waivers are required, are they included in the package?	0	0
If no, explain.		
8. Was the use of video conferencing technology considered for this conference?	0	0
If no, explain. The 2017 AGU Fall Meeting brings together the entire Earth and space science community from across the globe, thus this meeting is too large in capacity to attend by webinar or video conferencing.)	

9. Do the conference, and associated sponsorship meet acquisition and legal requirements? (i.e., have appropriate solicitor and/or acquisition personnel been consulted?)	0	0
If no, explain. N/A		1
Conference Planning (Hosted or Co-Hosted)		
General Review Section	Yes	No
10. Were alternative conference locations considered?	0	0
If no, explain. NOAA is not a sponsor of this meeting and was not consulted when the location of this meeting was selected.		
11. Was the least costly location selected?	0	0
If no, explain. NOAA is not a sponsor of this meeting and was not consulted when the location of this meeting was selected.		
12. Is conference lodging reserved at select hotels?	0	0
If no, explain.		
13. Are there any optics that the Department should be aware of? If yes, have they been vetted through the appropriate offices?	0	0
Provide Explanation. There are no optics that the Department should be aware of.		
14. Is the conference over the weekend?	0	0
If yes, please explain the additional cost.		

Bureau Reviewer Name	Bureau Reviewer Signature	Date
TMD Reviewer Name	TMD Reviewer Signature	Date
J. LL THOREAS	Jale Mono	11/3/11
TMD Director Name	TMD Director Signature	Date
Comments:	16.0	
Concur Non-Concur	·	
OAP Director Name	OAP Director Signature	Date
Comments:		
Concur Non-Concu	r <u> </u>	
OGC Reviewer Name	OGC Reviewer Signature	Date
Sarah Coe	SARAH COE 2017.11.06 14:54:36 -05'00'	
Comments:		
Cleared Not Cleared	i 🔲	
Deputy CFO or Designee Name	Deputy CFO or Designee Signature	Date
Comments:	,	
Concur Non-Concur	r <u> </u>	
CFO/ASA Name	CFO/ASA Signature	Date
Comments:		
Approved Disappro	ved	
Post Confe	rence Review (30 days post conference/event)	
Notes:		
Final Reviewer Name	Final Reviewer Signature	Date

Waiver of \$500,000 Single Conference Limitation American Geophysical Union 50th Annual Fall Meeting December 11-15, 2017

The National Oceanic and Atmospheric Administration (NOAA) has requested approval to exceed the \$500,000 single-conference limitation in order to send members and affiliates of NOAA, to the American Geophysical Union (AGU) Annual Fall Meeting from December 11th – 17th, 2016.

In submitting its waiver request, NOAA has indicated that this meeting offers a forum for the advancement of science through the presentation and discussion of new scientific discoveries among the leading scientific minds of our time. Similarly, attendance by NOAA's young scientific professionals provides crucial career opportunities that promote training and education toward excellence in the next generation of leaders and innovators in a diverse array of scientific disciplines.

The American Geophysical Union Annual Fall Meeting is the primary annual event that brings the world's scientific community together. The event is the largest Earth and Space science meeting in the world and provides a network of scientists to discuss the latest discoveries, trends and challenges that span every scientific discipline. Because of its breadth, there is widespread interest in NOAA and other agencies and the total number of attendees is substantially larger than any other US geophysical meeting. The AGU is really a collection of meetings occurring in one venue, i.e. the geology professionals generally do not attend atmospheric sessions and vice versa. Participation in this meeting will foster new international collaborations based on our bilateral agreements and common scientific challenges and will ensure that NOAA science stays current and cutting-edge.

Presenting scientific results at scientific meetings by early, mid, and senior scientists is an essential aspect of reaching career goals. For those not presenting, there is justification based on learning and networking with like-minded colleagues, as noted above. For those in management positions, such as Program Leaders and Deputy Directors, attending the AGU meeting is essential to maintain insight, intuition, and judgement in making decisions that guide NOAA research and operations for the coming year. There will be more than 1,700 sessions and 300 exhibits that offer the latest scientific innovations that may support NOAA's mission.

The AGU Fall Meeting is of the highest importance and priority to the effective operation and conduct of NOAA's mission science. In order to submit this travel, request with its number of travelers and associated expenses, NOAA Line Offices have carefully scrutinized all other travel for FY 2018 and made appropriate decisions on reductions elsewhere in order to meet the FY 2018 travel reduction targets and carry out the travel contained in this request. NOAA management used several factors while evaluating NOAA-wide participation to meet mission requirements:

• The vast majority of this year's attendees are delivering oral presentations, poster presentations, and/or are speakers or chairs of a session(s).

- NOAA plays prominent leadership roles in the organization and its participation is very important to maintaining its partnerships. It is critical for NOAA scientists to exchange information about their findings with other leading scientists.
- NOAA will be presenting scientific papers on topics that range from space weather prediction, to climate, to hurricane and numerical weather modeling and prediction.
- AGU represents the most significant annual conference for the National Geodetic Survey with experts on gravity, earth rotation, geoid models and methods of data collection.
- This meeting will provide NOAA attendees with a unique opportunity to meet our expanding mission requirements. For this year's meeting, we are requesting 216 slots, including 2 invitational attendees, NOAA leadership, over 150 oral or poster presenters, 8 speakers, and 5 representing the NOAA exhibit booth; and
 - The estimated budget in this context would be \$625,411.

In this context, I hereby waive the \$500,000 single-conference limitation for the National Oceanic and Atmospheric Administration attending AGU such that the National Oceanic and Atmospheric Administration may proceed consistent with its estimated budget.

Loclasianda	
Ellen Herbst	Date

Conference Pre-Approval Process: Autopen Questions

Conference Title: 2017 Annual American Geophysical Union Fall Meeting

What is the document about?

The group travel request for the American Geophysical Union meeting requires both NOAA and DOC approval based on the total number of attendees and costs to NOAA. The event is fundamental to accomplishing NOAA's mission of Science, Service, and Stewardship. The AGU meeting encompasses a comprehensive breadth of scientific activities in which NOAA regularly engages and/or leads in the national and international scientific arenas. The subjects addressed directly relate to the real-world applications of NOAA's Strategic Plan and NOAA's Strategic Goals.

Examples of scientific topics that will be represented at AGU include the following: atmospheric chemistry, meteorology, climatology, hydrology, oceanography, biogeochemistry, ecology, physics, geomorphology, social science, risk assessment, space weather, air quality, data assimilation, remote sensing, science communication, and modeling.

Who said it needs to be signed immediately?

NOAA is requesting 216 slots for this year's meeting at an estimated cost of \$625,411. Based on the size of this meeting and the criticality to NOAA's mission, we would like to move forward with the planning process as soon as possible. Therefore, we are requesting clearance by October 27, 2017. The clearance process for this package includes numerous levels of review and approval, and it is our hope that with submitting it within the stated DOC guidelines it can be cleared quickly.

What will happen is it doesn't get signed immediately?

The total cost for this package may increase as airfare, hotel, and registration fees are not booked by travelers until the package is approved. The early bird registration will save the federal government over \$20,000 in travel costs.