

COE TTHP 5th Annual Virtual Administrative Meeting

Phase I Extension/Phase II Transition

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**Center of Excellence for
Technical Training &
Human Performance**

Agenda

- Background - Guidance
 - Enabling Legislation
 - FAA's Final Solicitation
 - Cooperative Agreement - Reference
 - DOT Guide to Financial Assistance Guidance
- Recommendations
- COE TTHP Path Forward

Enabling Legislation

Public Law 101-508, SEC. 9209. (AVIATION RESEARCH AND) CENTERS OF EXCELLENCE

- GENERAL AUTHORITY- The Administrator may make grants to one or more colleges or universities to establish and operate several regional centers of air transportation excellence, **whose locations shall be geographically equitable.**
- RESPONSIBILITIES- The responsibilities of each regional center of air transportation excellence established under this subsection shall include, **but not be limited to** the conduct of research concerning airspace and airport planning and design, airport capacity enhancement techniques, human performance in the air transportation environment, aviation safety and security, the supply of trained air transportation personnel including pilots and mechanics, and other aviation issues pertinent to developing and maintaining a safe and efficient air transportation system, and the interpretation, publication, and dissemination of the results of such research. In conducting such research, each center may contract with nonprofit research organizations and other appropriate persons.

FAA's Final Solicitation

In establishing each Center, the FAA's final solicitation language reads:
“The FAA intends to fully support the COE under the requirements set forth in P.L. 101-508, Section 9209, **for a period up to ten years.** The extent of this support is subject to the availability of funds. The needs of the agency are reviewed annually and the Center is reassessed within the first five years.”

Solicitation Language (continued)

- An assessment of the Center is conducted *within 5 years*
- If a Center is successful and a long-term need continues to be expressed by the sponsor:

The reassessment team would generally recommend the COE should continue for another five-year period.

Cooperative Agreement Language

The COE cooperative agreement states the following:

- *Pending the satisfactory audit of matching contributions, a stated need by the FAA, available FAA funding at an appropriate level to the COE, and execution of recommended changes, the organization will advise AOA of the current status and future plans for the COE.*
- *With AOA concurrence, the COE Grants Officer will execute a Phase II COE Agreement with core members in good standing.*

DOT Guide to Financial Assistance

5.4.1.2 Subsequent Competitions:

In subsequent competitions, the OA/OST may consider the recipient for additional awards that extend a current one if:

- *The treatment of the recipient is consistent with all other applicants;*
 - *The recipient's performance is satisfactory; and,*
 - *The extension is consistent with the nature of the NOFO.*
- The renewal will require a closeout of the Phase I **Cooperative Agreement**, and a Phase II Cooperative Agreement.
- **Differences between the existing and the subsequent Agreement will be documented for OST.**

DOT Guide to Financial Assistance (continued)

5.4.1.3 Non-competing awards (Amendments or Supplements to existing awards):

*If the statutory or programmatic authorities permit, the OA/OST may provide the recipient with a non-competing continuation award. The OA/OST must follow its own policies and procedures for permitting this specific type of awards. The OA/OST should refer to the budget and performance revisions provisions indicated in **2 CFR § 200.308**. Non-competing continuation awards require a new or revised award agreement and may require a new FAIN, and all information regarding the non-competing continuation must be retained in the award file.*

Recommendations

- Issue Centers of Excellence extensions to enable additional time to:
 - 1) recover lost matching contributions and
 - 2) provide for adequate planning while path forward is determined
- Per 2 CFR 200. ONE extension permitted
- Obtain decision of 75/25 exceptions to 1:1 match
- Conduct orderly closeout of Phase I
- Enter into Phase II

COE TTHP Path Forward

- Obtain a 2 year extension for Phase I Cooperative Agreements
- Complete assessment March 2021
- Conduct orderly closeout of Phase I by August of 2023
- Phase II: Aug 2023-2028

Backup Information

Assessment of Phase 1

- Is current COE structure / oversight appropriate?
- Are the desired research goals being achieved?
- Are there changes required **or indicated by assessment** as Phase II is **being** anticipated?
- Is the COE providing intended benefits to sponsor? **IN A COST EFFECTIVE MANNER ?**
- **Is the COE operating in accordance with Congressional intent / requirements ?**

Assessment Phase 1 (continued)

- Matching Requirements – Audit
- Administer Phase I Assessment Questionnaire (conduct, collect data, analyze, prepare report)
- COE Program Management Office briefing of results to FAA Program Manager / **SPONSORING ORG**
- Determine what changes may be required in Phase II
- Brief / **SPONSOR ADVISES** FAA Administrator **REQUESTS CONCURRENCE TO RENEW or RECOMPETE**
- **Determine to what extent DOT Secretary Approval is required**
- Review Cooperative Agreements and extend into Phase II (5 years) or consider other funding options

Orderly Shut Down/Closeout Activities – Tentative Schedule

18 months prior to end date

- COE GO meets w Office of Primary Interest (OPI) COE Program Manager / Sponsor & Fiscal Officers at Core Universities:
 - Together Review - COE Cooperative Agreement with Team
 - Together Review - End date of COE + End date of each task, burn rates, matching level of each member. Prepare to redirect/deob as necessary
 - University Fiscal Officers – Prepare for audit of matching contributions
 - University PIs - Identify and manage project and student degree completions
 - COE Program Manager - Review COE contract/OT status w ACQ
- Initiate planning for 10th year closeout activities and major symposium

Shut Down/Closeout Activities (continued)

17 months prior to end date

- COE PMO w OPI form evaluation teams
- COE PMO contacts each university member's cognizant govt auditing agency re matching contributions, prepare list of stakeholders for assessment

15 – 16 months prior to end date

- COE GO Constructs Performance Assessments
- Send Assessment to stakeholders to complete/ return

13 – 14 months prior to end date

- COE PMO collates responses / clusters raw data / prepares report and Executive Summary for AOA

Shut Down/Closeout Activities (continued)

12 months prior to the end date

- COE Program Manager and COE GO brief COE Members and sponsoring organization/FAA Line(s) of Business and Staff
- Sponsor Submits Memo to AOA w justification to
 - Extend Team into Self-sufficiency, or
 - Shut Down and Re-compete the topic area for a new COE or
 - Shut Down and Finalize Closeout schedule

10 months prior to end date

OPI submits memo to advise AOA re Assessment results leading to Orderly Shut Down or presents options w request for decision re a course of action

- COE shut down with intention to re-compete
- COE is able to serve the FAA and the aviation community as a self-sufficient National resource

Shut Down/Closeout Activities (continued)

10 months prior to COE end date

- COE PMO issues extension(s) for approved length of time
- COE OPI determines contract status, extension, if required
- OPI and universities host 10th year symposium
- Universities ensure project and student end dates align with extension end dates (2-yr Extensions enable Orderly Shut Down)
- New grants awarded only to finalize project activities

6 months prior to COE end date

- Universities schedule final financial audit. COE PMO reviews
- OPI & universities finalize phase down, closeout or self- sufficiency plan
- COE PMO w Sponsor begin re-compete if approved by AOA