



SPONSORED PROJECTS AND TECHNOLOGY TRANSFER SUPPORT

DRI

DRI Report to the Board of Regents Workforce, Research, and Economic Development Committee

I. DRI Sponsored Projects Activity Highlights

FY 2011 Projects Awarded: \$42.3 Million

Proposals submitted range from 225 to 350 per year

Current number of active contracts: 325

Current number of sponsors: 118

II. DRI Sponsored Projects Overview

Grants and contracts (Sponsored Projects) are awarded to the Board of Regents on behalf of the Desert Research Institute (DRI), not to individual principal investigators (PIs) - research faculty - or Divisions. Only the Chancellor or designee may accept a grant or contract. Acceptance of a grant or contract by DRI signifies its willingness to assume responsibility for the administration of the funds in accordance with the terms and conditions specified by the awarding agency.

As a research institution, the entire set of DRI infrastructure and administrative systems is designed to support research and sponsored projects. Unlike traditional Sponsored Projects Offices (SPO) at most universities, DRI has decentralized some of the functions typically performed by a SPO. This decentralization allows DRI to be nimble and responsive to sponsor requests, urgent needs, and related opportunities. The authority for proposal preparation and submission is delegated to Division Business Managers (DBM) within each division, the signature authority for grant and contract acceptance rests with the SPO, and the account setup, invoicing, and financial reporting falls under the Financial Services Office (FSO). This business model has worked extremely well for DRI, as there is significant faculty satisfaction with the speed at which proposals can be prepared and submitted as well as with contract negotiation, execution, and account setup.

The responsibility for securing and administering grants and contracts is shared within the Institute by the principal investigator (PI), Division Business Manager (DBM), Executive Division Director (DD), Executive Vice President for Research (EVPR), the SPO, and the FSO. This system allows for everyone to work together ensuring that the terms of the award are observed and the project is on budget. The complementary roles and process phases are as follows:

Sponsored Projects Phases:

Market Research Phase

DRI is an entrepreneurial organization that relies on research faculty identifying funding sources, writing successful proposals to obtain funding, and building relationships with current and potential sponsors. Faculty, DDs, Center Directors (CDs), and EVPR, work collaboratively, as necessary to develop proposal concepts, schedules,

and budget estimates. The cognizant DD identifies and develops new opportunities for research funding in coordination with individual PIs, other directors, and EVPR. The EVPR, in cooperation with divisions, centers, and faculty, ensures that sufficient information is developed to provide for research opportunities and communication with program sponsors in international, federal, state and local agencies and the private sector.

Proposal Development Phase

Once an opportunity has been identified, the PI and DBM team to develop a final proposal to the sponsoring agency. The PI is responsible for developing the science and detailed work statement and consults with the DBM on the preliminary budget. The DBM is responsible for reviewing the solicitation and agency guidelines to determine requirements and terms and conditions. The DBM also will seek formal proposals from any collaborator or sub-recipient. Depending on the type of sponsor and type of contract (standard/fixed cost/etc.), the DBM assigns an indirect cost rate and prepares final proposal language and budget on agency forms. The DBM signs the proposal as the authorized institutional representative and submits the proposal directly to the sponsor. The SPO reviews, interprets requirements, and terms and conditions of the proposal with the DBM as needed and maintains DRI registrations with various agencies.

Award Receipt Phase

The DBM receives the award from the sponsor, and then reviews funding, award terms and conditions, regulations, and deliverables with the PI. The DBM also reviews the terms and conditions of the award with the SPO and together they negotiate contract changes with the sponsor, as needed. The SPO signs the award document as the contracting officer for DRI and returns the document to the DBM. Upon receipt of fully executed award documents, the DBM enters the award information in the grants and contracts management software system (COEUS database), sends the award package containing the Notice of Award Routing Form, copy of proposal, award, compliance form, and account setup to the SPO. The SPO signs the Notice of Award and sends the form to the FSO for account setup.

Execution Phase

The PI plans workload, implements project activities, and completes the project within the terms and conditions of the award. The PI is responsible for all deliverables, supervises all work, initiates and approves all expenditures on the grant/contract account. The PI certifies DRI faculty and staff time on a monthly basis through the time and attendance software system assuring proper assignment of work efforts on the project. The DBM monitors the contractual requirements, keeps the PI informed of any technical reporting requirements, budget balances, and approaching end dates and other project deadlines. The DBM monitors costs to ensure conformity with established budgets and compliance with terms and conditions. The DBM approves all expenditures. The DBM also ensures that the established indirect cost rate is consistently charged to the account.

The FSO receives the fully executed award package and consults with the DBM and/or SPO regarding award interpretation, propriety of expenditures, budget, budget modifications, and relevant regulations. The FSO processes payment documents,

contract/budget modifications, and journal vouchers. The FSO calculates monthly indirect cost recovery (ICR) and distributes the revenue to the Institute self-supporting budget. With the collaboration of the DBM, the FSO invoices the sponsoring agency and assures timely collection of any outstanding account balances.

Closeout Phase

The PI completes the project, assures the account has been properly charged and that no negative account balance exists, and produces both the final set of deliverable(s), and completes the intellectual property (inventions and patents) certification. The DBM notifies FSO of the completion of the final deliverable and completes the equipment certification, as needed. FSO verifies that all amounts have been invoiced, paid, and all required financial reports have been submitted to the sponsor. The FSO prepares and processes closing entries and closes and deactivates all tables in the financial accounting system related to the grant and contract. The FSO retains files as required by the sponsor and serves as the primary contact with financial auditors.

Research Administration Upgrade

DRI is in the process of implementing a new Research Administration System that will automate the workflow of the various phases described above as well as maintain an electronic central depository for all documents related to each particular award. It is anticipated that this system will be operational during the first quarter of 2012.

III. Supporting Faculty Research

Faculty receives support for their research in a number of ways:

- The Institute's primary purpose is to conduct basic and applied scientific research. To fulfill this mission the Institute is organized into three interrelated divisions (Atmospheric Sciences, Earth and Ecosystems Sciences, Hydrologic Sciences) and four centers (CTREC, CWES, CERM, CAVCaM). Each division is a community of scientific researchers with skills within the divisional area of specialty. This provides intellectual stimulus and collaboration on projects and proposals.
- The working relationship of the PI and the DBM – their ability to submit proposals in a timely manner cannot be overstated. The faculty can focus on their projects and their areas of scientific interest. The DBM can focus on the administrative details. Working together, they make an efficient and effective research administrative team.
- Compliance with rules and regulations affecting sponsored projects is the responsibility of everyone at DRI. Specific offices are designated for certain areas of compliance and are responsible for educating employees of their compliance responsibilities as well as designing and implementing procedures and processes when new rules and regulations are promulgated. For example:
 - SPO is responsible for export control and research related compliance;

- Environmental Health and Safety is responsible for laboratory and field safety, hazardous materials, and regulatory permitting;
 - FSO is responsible for financial reporting and compliance;
 - Information Services is responsible for computer, network, and data security;
 - Human Resources is responsible for compliance with federal and state personnel regulations;
 - Facilities are responsible for compliance with construction regulations for construction grants and contracts.
- Because DRI does a very limited amount of work with vertebrate animals and human subjects, DRI utilizes UNR's Office of Human Research Protection (IRB) for human subject requirements and UNR's Institutional Animal Care and Use Committee (IACUC) for vertebrate animal requirements.
 - The Institute operates many laboratories its facilities in Reno, Las Vegas, Boulder City, and Storm Peak, Colorado. These range from one-person operations to major facilities with numerous faculty and technicians. Laboratories play a vital role in research and are critical to project activities. This infrastructure and the specialized facilities, such as computer and network systems, provide important support to the faculty.
 - 5% of the indirect cost recovery earned through faculty grants and contracts is returned to the PIs who generated the revenue. DRI faculty utilizes this funding to support their research efforts and to expand their knowledge base and national standing by attending conferences and other related events.
 - DRI faculty support also includes:
 - A special pool of ICR is set aside for faculty to use for proposal development and other science activities.
 - Divisional support to the faculty for proposal development funds.
 - EVPR (with advice from the Research Affairs Council) funding of research proposals on a competitive basis.
 - A science editor to work with faculty to produce professional documents.
 - A small research library at both the north and southern campuses. Library staff works with the faculty in providing research materials and databases.

IV. Facilities and Administrative Cost Rate

DRI is unique within the Nevada System of Higher Education (NSHE). Since DRI is a research institute, it falls under the Office of Management of Budget Circular Number A-122, entitled "Cost Principles for Non-Profit Organizations". This designation means that OMB recognizes DRI as a single purpose research entity, one neither with a direct educational mission nor a recipient of student fees and tuition. Because DRI is a single purpose entity, the Institute is not subject to the Administrative Cost ceiling of 26% applied to all NSHE teaching institutions.

The cognizant federal audit agency for DRI is the Department of Health and Human Services. Every three years we negotiate our Facilities and Administrative Costs (F&A Rate), otherwise

known as our indirect cost rate (ICR). Our current negotiated rate is 73%. DRI, for competitive reasons, normally does not use the negotiated rate, but uses a reduced rate depending on the type of sponsor and whether the research will be conducted on site or off-site. Since these are competitive rates, the Institute does not publically disclose the rate structure applied during the proposal development process.

V. Background and Overview of the Technology Transfer Office

The Technology Transfer Office (TTO) is funded and administered jointly by DRI and the University of Nevada, Reno (UNR). Within DRI, the TTO reports to the EVPR; at UNR the TTO reports to the VPR. The TTO, as a joint DRI/UNR operation, was established in FY2004 by a memorandum of understanding between DRI and UNR. This MOU defined the structure, purpose, and funding allocation of the TTO. In 2008, this MOU was extended and currently forms the basis of operation of the TTO. The primary purposes of the TTO are as follows:

- Identify, protect, and commercialize faculty and student inventions at UNR and DRI
- Provide support for the research programs at UNR and DRI where intellectual property concerns are involved
- Manage compliance with Bayh-Dole federal reporting requirements
- Assist the State of Nevada in economic development and diversification efforts

DRI provides funding to support 15% of TTO office operations. Each institution provides all funding required for its own intellectual property (IP) expenses (primarily legal expenses). DRI funds a part-time (approx. 0.15 FTE) liaison position with the TTO. The role of this liaison includes making decisions on behalf of DRI with respect to IP issues, facilitating interactions between the TTO and DRI faculty, communicating TTO activities and issues to DRI Administration, and providing management/oversight of the TTO.

A record of DRI funding for the TTO is provided in Table I. The DRI budgeting and financial tracking processes utilize two accounts:

- (1) Office operating expenses
- (2) Patent expenses.

Disaggregation of these accounts is shown in Table I to more accurately reflect the level of support provided to major functions of the TTO. Over the past 7-year period, the DRI budget for the TTO has fluctuated, with a high of \$270K in FY06 and a low of \$122K in FY10. Not included in these figures are varying levels of support by involvement of state-paid DRI administrators. At the present time, the DRI Liaison is the only DRI employee having significant involvement in operation of the TTO.

Table I
DRI’s Funding History for the TTO, \$1000’s

Activity/Function	FY05	FY06	FY07	FY08	FY09	FY10	FY11
TTO Operating Expense	136.8	162.5	132.1	64.6	64.9	73.5	57.3
Patent Expense	24.4	63.5	44.0	57.9	19.8	15.8	9.1
DRI’s Liaison Role	0	0	0	0	24.2	7.3	47.4
Faculty Support	0	0	0	0	0	0	14.9
Total Expenses	161.2	226.0	176.1	122.5	108.9	96.6	128.7
Total Budget	232.7	269.6	220.0	125.8	133.6	121.8	122.2

Not reflected in Table I are patent expenses paid by the DRI Research Divisions. The policy at DRI is for patent expense to be shared 50/50 by the TTO and the Research Division from which the technology originated. Thus, since 2009, the Patent Expense costs for DRI divisions totals \$44,700.

Performance metrics for the TTO over the past 7 years are provided in Table II. While there is considerable year-to-year variability, the TTO typically handles 6-8 invention disclosures/year for DRI, and 3-4 full patent applications. Several license agreements are with DRI employees and their spin-off companies. To streamline and promote this type of technology licensing, the TTO has recently developed a standard “template-style” licensing approach, called the NSHE Express license, which pre-defines all important terms and conditions, and accelerates the entire process.

Table II
Performance Metrics for the TTO

Activity	FY05	FY06	FY07	FY08	FY09	FY10	FY11
Disclosures	8	6	3	14	6	8	8
Reg. Patent Apps	2	3	3	3	4	10	3
Issued Patents	0	1	4	0	0	1	3
New License Agreements	1	1	1	0	2	0	2
Income, \$*	16,000	6,540	6,577	23,817	28,230	34,310	39,749

*Includes license royalties and reimbursement of patent expenses

UNLV

UNLV RESPONSE
Report to the Workforce, Research and Economic Development Committee
December 2011 Board of Regents Meeting

Office of Sponsored Programs

The UNLV Office of Sponsored Programs (OSP) is a unit within the Vice President for Research Office created to serve the faculty, staff, and students by assisting and/or facilitating the pursuit of external funding for scholarly, research, public service, and instructional activities. OSP assists faculty members in developing and submitting proposals and provides financial and administrative support. OSP is also responsible for assuring that UNLV maintains compliance with all contractual terms and financial requirements as well as Federal and State regulations, including the FAR and OMB A-110, A-21 and A-133.

Fiscal Processes:

- Negotiate and interpret contractual language to assure incorporation of legally acceptable and financially equitable terms
- Establish and manage grant and contract accounts throughout the life of the project
- Monitor compliance with grant and contract financial rules and regulations
- Review expenditures, draw down/invoice regularly, and deposit funds in appropriate accounts
- Ensure compliance with sub-recipient monitoring procedures and cost-sharing requirements
- Produce and submit mandatory financial reports in accordance with award terms and conditions
- Reconcile, close, and deactivate accounts in the financial system when the project ends
- Distribute and manage effort reporting certification in accordance with federal regulations
- Prepare internal and external reports
- Prepare the institution and serve as primary liaison for sponsor specific, internal, and A-133 audits

Encouraging and supporting faculty proposal development and submission and fulfilling reporting requirements:

- Provide assistance to faculty to identify funding opportunities
- Review RFPs to identify requirements and fit for the university and assure proposals meet guidelines
- Assist with proposal preparation, review, and submission, including electronic submissions
- Offer various training opportunities to enhance proposal development and promote financial compliance:
 - Locating Funding Opportunities & Developing and Submitting Successful Proposals (Broad topics)
 - My Proposal Was Funded...Now What? (Financial direction provided)
 - Proposal Writing Tips: Presented by Successful Researchers (Dennis Lindle and Marty Schiller)
 - Locating Funding Opportunities (Focuses exclusively on how to locate funding opportunities)
 - Industry/Government Contracting (Discuss critical differences between grants and contracts)
 - Monitoring Sponsored Program Accounts (Hands on training to show PIs how to monitor account)
 - Developing Proposal Budgets
 - Reviewing and Understanding Advantage and Data Warehouse financial reports
 - OSP Basics: Pre- and Post-Award General overview of entire process
- Procedures are in place to notify Principal Investigators when technical reports are due, and regular reminders are also sent

Finance and Administration (F&A) Rate and Internal Distribution

- Current research F&A rate is 44%. We are in the process of negotiating a new rate to be effective 7/1/12
- Internal F&A distribution is as follows:

- 48% Vice President for Research Office
- 40% Academic College (Colleges vary on their distribution to departments and PI's)
- 4% President's Office
- 4% Provost's Office
- 4% Library

Office of Research Integrity

The UNLV Office of Research Integrity (ORI) is a unit within the Vice President for Research Office created to serve the faculty, staff, and students by assisting and/or facilitating the ethical conduct of research and compliance requirements for research activities at UNLV. Many grants and contracts have reporting requirements related to these compliance activities. ORI manages required boards, authors institutional policies and procedures for compliance, and provides extensive educational opportunities in research ethics.

Requirements

Federal, State, and NSHE requirements for compliance activities include, but are not limited to the following:

- Human subjects research review and oversight
- Recombinant DNA and infectious material review and oversight
- Animal care and use operational support, review, and oversight
- Managing conflicts of interest and commitment
- Investigating allegations of research misconduct
- Providing responsible conduct of research training programs
- Ensuring compliance with export control requirements

Oversight Boards

Oversight boards supporting these functions include:

- Institutional Review Boards (2)
- Institutional Biosafety Committee
- Institutional Animal Care and Use Committee

Office of Technology Transfer

In 2009 the Office of Technology Transfer (OTT) was closed and the Director terminated due to budget cuts. Even prior to the closure, the department was a fledgling, one-person operation for several years, without dedicated staff support. Since 2009, technology transfer functions have been provided part-time through the collective efforts of the Associate Vice President for Research (AVPR), Associate General Counsel, and the Executive Director of Business in the Research Office. These duties have been performed on top of their normal professional assignments, with the assistance of external patent counsel. UNLV also established an Intellectual Property (IP) Committee this year, which is composed of the Engineering and Science Deans, four faculty members, the university controller, and two community representatives from the private sector. This committee, coordinated by the AVPR, has been handling new IP disclosures and patent prosecution when applicable in concert with external patent counsel.

Future Direction:

After extensive discussion and feedback from the UNLV campus community and external partners, President Smatresk has approved the establishment of a new Office of Economic Development and Technology Transfer. This office will initially be staffed by two new hires who will be selected through open searches: an Executive Director and an Intellectual Property Coordinator. The Executive Director will lead two major areas of research support, with efforts in each area proportional to institutional needs. First, the Director will develop and begin to

execute a comprehensive blueprint for UNLV to actively pursue venture capital, seed investment, business incubation, planning and start-up, and related topics dealing with entrepreneurial activity. The Director will also serve as a liaison to community and statewide business and economic development groups. Second, the individual will direct an intellectual property (IP) and commercialization program for the university by developing strategies and action plans for working with the IP that is disclosed by UNLV faculty and professional staff and providing consultation on patent and copyright procedures and licensing. This individual will actively protect and commercialize technology for the benefit of the university and the citizens of Nevada and serve as a liaison between university researchers and off-campus commercial interests.

The Intellectual Property Coordinator will assist in managing and maintaining the university's IP portfolio, as well as preparing legal documents and providing office management support. The university anticipates filling both positions by January 1, 2012.

Impact of Budget Reductions on Research Mission

During the 2011 legislative session, the impact of budget reductions on the research missions of UNLV, UNR, and DRI was discussed among NSHE officers and state legislators during System budget hearings. Below is UNLV's follow-up response originally sent to the Legislative Counsel Bureau when the institutions were asked for additional information about actual and anticipated impacts:

Virtually all of the momentum the university directed toward its research mission has been severely compromised by recent budget cuts, which have then been compounded by a loss of funding for grants and contracts at the federal level. A representative sampling of the impacts include the following:

Research Expenditures:

Fiscal Year	Total Sponsored Programs Expenditures	Research Expenditures
2006	91,714,087	47,985,091
2007	104,936,865	54,118,179
2008	99,441,695	46,765,293
2009	87,406,279	36,156,589
2010	100,005,274	35,913,552
2011	96,329,369	32,581,329

1) Total Sponsored Programs Expenditures includes all expenditures in funds managed by the Office of Sponsored Programs; funds 2330-2397.

2) Research Expenditures includes expenditures in funds managed by the Office of Sponsored Programs coded with 2000 (Research Code).

- As shown in the table above, federal and state research expenditures and forecasts are on a downward trend. This trend means less research revenue generated by the university, which in turn impacts UNLV's

ability to grow its research enterprise, because that revenue has consistently been reinvested in various research programs and training. As these revenues dwindle, we will not be able to sustain the progress we have made to assist our faculty researchers or to retain star faculty at the university, at a time when universities in nearby states are dedicating millions of dollars into their state's research enterprise.

- The downward trend also takes into consideration the loss of 16 faculty members who collectively had grants amounting to \$2.6 million.
- When faced with cuts rather than increases in research revenues and expenditures, the university is hampered in its ability to meet goals for targeted faculty hires and investing in intellectual property (patents, new start-up companies, etc.)
- The last round of budget cuts caused the university to close its Technology Transfer office at a time when neighboring states were dedicating considerable sums to intellectual property, patents, and company start-ups that result from faculty research. The lack of a Tech Transfer office impacts the university's ability to promote applied research projects with industry as well as commercialization, which provides licensing/royalty income.
- Gains the university had made to improving pre-award and post-award for faculty members were lost when it had to cut two full-time positions in the Office of Sponsored Programs. The lost pre-award position led to a backlog that resulted in a multi-million-dollar grant proposal being deemed non-compliant by a federal agency. Further cuts to post-award staffing could lead to even more impactful compliance and audit issues.
- The university has lost state matching funds, which has negatively impacted its ability to support industry/university research projects. Lost state funding has directly impacted our ability to submit competitive proposals for programs that require significant cost share.
- The loss of two full-time positions that had been assigned to the new Science and Engineering Building has hampered our ability to support the full functioning of this \$110 million interdisciplinary research facility.
- The continued loss of state and federal funding, matching funds, and cost share affects entire research operations, such as the Harry Reid Center for Environmental Studies (HRC). In FY10, 18 researchers there received grant funding in the amount of \$9.3 million, which equates to more than \$500,000 per HRC researcher. The Transmutation Research Program received \$35 million over a 10-year period and supported research education for 214 graduate and undergraduate students, most of whom have received degrees and have matriculated into the workforce (nuclear materials and sciences). The Radiochemistry Program has produced 7 Ph.D. graduates who have matriculated into the workforce; that program currently has 25 Ph.D. students. Furthermore, HRC financially supports and provides research infrastructure to 13 other graduate students in the Colleges of Engineering and Sciences.
- UNLV's plans to make targeted faculty hires in several key areas of importance to the state (renewable energy, arid lands hydrology, public health, and biosciences, to name but a few) will be very difficult, if not impossible, with further cuts to research spending, because of our inability to provide competitive start-up funding, laboratory equipment, and research infrastructure support.

UNR

University of Nevada, Reno

OFFICE OF SPONSORED PROJECTS

Organizational Structure:

There are four main functional areas that comprise the Office of Sponsored Projects:

Pre-Award

Responsible for handling inquiries on where to look for grant funding, reviewing grant proposals for compliance with university policy and the RFP, the funding source requirements, appropriate signature sign offs and actual electronic or paper submission to the granting agency. If funded, the Pre-Award Analyst reviews grant/contract for institutional compliance, negotiates terms and conditions of the grant/contract with the sponsor, and obtains appropriate signatures. Pre-Award initiates the account set-up process in compliance with the award instrument and approved award budgets of the granting agency. Pre-award is also responsible for issuing sub-awards which includes conducting a risk assessment and drafting the sub-award agreement.

Post-Award

Responsible for submitting invoices to sponsors, monitoring account transactions, budget revisions, financial reporting requirements to the sponsoring agency, federal reports such as ARRA and FFATA, close out of the accounts and final financial reports. The Post-Award area issues institutional reports on a monthly, quarterly and annual basis. Associated with the Post-Award area are three other significant task sets. One is the responsibility for setting up the sponsored accounts in the UNR financial system, the second is financial draw-downs from the Sponsoring agency and reconciliation of these draw-downs, and the third is sub-award monitoring. This includes invoicing and reports related to the sub-awards.

Effort Reporting

Effort reporting is required of federal grants. This includes effort certification of any personnel being paid from federal dollars. It is a major compliance function and also includes on-going training to ensure such compliance. Training modules focus on grants management, as well as the effort reporting mechanism itself.

Export Control

Export control is another federal mandate with two aspects – the aspect that involves the Office of Sponsored Projects is that of monitoring the employment of individuals in areas or in projects where national security may be an issue. This aspect is conducted as part of the Office of Sponsored Projects compliance responsibilities.

Additional responsibilities of the Office of Sponsored Projects include: fiscal reporting on a monthly basis for cost share commitments and F&A accrual and dispersal (UNR formula of F&A Distribution is given below), responding to audits, both internal and external, and training.

UNR F&A Distribution:

3.75% Development and Alumni Relations

2.62% Scholarly Activity Fund
4.50% President
4.88% Facilities and Administration
60.25% Vice President for Research Office
0.75% Property Acquisition
23.25% distributed as 7.75% to College, 7.75% to Department, and 7.75% to PI

The impact of budget reductions:

- There are no funds for increased personnel, yet the Office of Sponsored Projects handled a larger number of pre and post awards. (UNR total awards up from 110M to 157M). Additionally there has been an increase in regulatory compliance issues and reporting which are managed by the Office of Sponsored Projects.
- The number of personnel has been maintained, but the ability to maintain maximal staffing throughout the work week has been severely hampered by the required furloughs.

UNR/DRI Technology Transfer Office Report for December 2011 Board of Regents Meeting

TTO Overview

The UNR/DRI Technology Transfer Office (“TTO”) serves both UNR and DRI. The TTO is actively transitioning from a more traditional technology transfer model to embrace and develop cutting edge approaches to technology commercialization, industry partnerships, and economic development.

The TTO has several traditional functions, including the “transfer” of technologies from the institutions to the private sector. The TTO seeks to identify technologies with commercial potential developed through the activities of UNR faculty and students. Where appropriate, the TTO seeks to obtain intellectual property protection for the technology, typically through patent protection. In transferring the technology to the private sector, the most common approach is to license the technology to an existing private sector company. Occasionally, technologies can be licensed to a spinoff company involving faculty or students from the institutions. Inventions created using federal funds are subject to certain requirements. The TTO handles these compliance issues.

In addition to these “transfer” activities, the TTO assists faculty with various research related activities. For example, the TTO processes material transfer agreements under which faculty can share research materials, typically animals or biological materials, with faculty at other research institutions. The TTO also assists faculty in interacting with industry, such as by negotiating confidentiality agreements and confidentiality and intellectual property terms in sponsored project agreements.

For UNR, the administration has designated the TTO as a primary contact for business to engage the University. Similarly, the TTO often is involved in economic development efforts that touch the University.

New TTO Initiatives

Industry Outreach

Traditional research activity is typically hypothesis driven fundamental research, even in “applied” fields like engineering. In generating their research ideas, faculty follow the cutting edge of science. Faculty generally do not follow industry trends, seek to identify industry needs, or seek industry feedback prior to writing a grant proposal. It therefore seems unsurprising that, at institutions throughout the country, faculty rarely generate technologies with significant commercial value, particularly in the short term, and particularly without the need for industry to invest significant additional time and money into further research and development.

The TTO has developed two new programs designed to better engage faculty with industry. The goal of these programs is to expose faculty to the needs of industry in hopes that faculty will then generate research ideas that are both scientifically relevant and interesting, but will also produce technologies with strong commercial interest and a more definite and immediate chance for real world impact. While there are a very few institutions that have taken these kinds of steps, notably Stanford Research Institute, such efforts are believed to be rare indeed, particularly at traditional state universities. The new programs are described in more detail in the attached handout.

Leveraging Resources/Student Opportunities

The TTO is also instituting programs to improve its activities by leveraging institutional and community resources. With UNR's College of Business, the TTO is establishing TTO intern positions. The business interns will be supervised by Chris Howard, Director of the College of Business' entrepreneurship initiative. The TTO interns will assist with industry partnering efforts, evaluation of new technologies, and marketing efforts. In addition to augmenting the resources of the TTO, the intern program will provide students with valuable experience in a multidisciplinary setting.

The TTO recognizes and respects the resources in our local community, particularly the business and entrepreneurial/investment communities. In addition to engaging community members in the industry partnering efforts, the TTO is seeking to build a "Community Support Network." The Community Support Network will seek to harness the expertise of our community in evaluating new technologies and in TTO efforts to market new technologies. Even if our community members are not personally interested in licensing a technology, they may be able to forward information to those in their professional networks who might have an interest in the technology.

Reducing Barriers

In the past two years, the TTO has undertaken efforts to reduce barriers, whether real or perceived, to technology transfer, research, and economic development activities. For example, the TTO developed a cutting edge standard license agreement, the NSHE Express, for use with faculty startup companies. Together with other administrators at UNR and DRI, the TTO has helped establish a standardized conflict of interest management plan. This management plan will streamline conflict of interest resolution and approval. In early 2010, UNR, through the TTO, became a signatory to the Uniform Biological Material Transfer Agreement (UBMTA). The UBMTA allows biological materials to be quickly shared with over 450 other signatory institutions, eliminating the need to engage in the time consuming negotiation of individual agreements.

Increasing Outreach

UNR and DRI have great faculty and carry out great science. However, much of this is unknown outside of the institutions, even in the local community. In order to highlight significant technologies developed at the institutions, and educate the community on ways they might interact with the institutions, the TTO has developed a much closer working relationship with the media relations departments at UNR and DRI. These efforts have resulted in significant local and national media coverage. In particular, AUTM, the primary technology transfer professional organization, has featured UNR technologies in the 2011 and 2010 editions of its "Better World Report." The Better World Report highlights significant university inventions from across the country—only about 30 are selected every year.

Budget Impacts/Procedural Challenges

Impact of Budget Cuts

Perhaps the most direct impact of the budget cuts was the loss of funds under the Applied Research Initiative, which essentially provided matching funds for industry sponsored research in order to stimulate industry partnerships. The ARI funds were one of the first casualties of the economic downturn. Also, at the beginning of the economic downturn, the TTO had a staff of five. Even with the new marketing hire, the TTO will be down to a staff of three, with a single employee focused full time on marketing efforts. The TTO is a lean operation compared to technology transfer operations at many institutions having the combined research capacity of UNR and DRI.

Procedural Challenges

The TTO would appreciate NSHE's assistance in streamlining policies relating to legal agreements and institutional policies. In particular, the NSHE code has stringent contract requirements that often require contracts to be sent to the institutions' general counsel and, in many cases, also be forwarded to NSHE for signature by the Chancellor. It typically takes 4-5 weeks to get documents through the signature process once the documents leave the TTO. Many of these contracts are simple confidentiality or material transfer agreements. The delay hinders the institutions' ability to deal with industry and is a source of great frustration for faculty. Contractual provisions that create issues include: agreements with an indefinite term or a term longer than 5 years, provisions that do not have specific indemnity language, choice of law provisions, and provisions to accept electronic signature copies in lieu of original signatures (our contact policy does not permit the exchange of pdf copies of signed documents absent general counsel approval). Also, it would be helpful for institutions to be able to individually change their intellectual property policies, conflict of interest policies, and other policies to accommodate institution-specific needs.

University of Nevada, Reno-DRI Technology Transfer

Facilitating Research, Supporting Technology Dissemination and Expanding Industry Relations

COMMUNITY ENGAGEMENT PROGRAMS

The University of Nevada, Reno-DRI Technology Transfer Office (TTO) has instituted several new programs to engage the community in an effort to enhance technology transfer, economic development, and the relationship between the institutions and the local business community.

Industry/Faculty Partnering Clinic

Technology transfer can be greatly enhanced if faculty are working to solve problems that are relevant to businesses. Traditionally, however, faculty have little contact with industry and the challenges they face. The industry/faculty partnering clinic seeks to initiate a dialogue between faculty and relevant industries. Under the guidance of a volunteer community mentor, an intern, who may be a student in the faculty member's lab, and the faculty member identify industrially-relevant areas of expertise and develop a short presentation geared toward industry. Relevant companies are identified, for instance through the mentor's network, and engaged.

Industry on Campus

As a further effort to educate faculty as to industry needs, and to help industry identify suitable institutional faculty to partner with, periodic meetings are held between businesses and relevant institutional faculty. At the meeting, typically over breakfast or lunch, selected faculty and industry representatives share brief overviews of their technology interests with time for group discussion.

Community Support Network

The TTO appreciates the collective expertise of our local community. Harnessing that expertise can greatly help us in assessing new technologies and identifying potential licensees and collaborators. The TTO is looking to build a network of community members willing to periodically review brief technology summaries and provide very brief feedback on the value proposition of the technology or whether the member has any contacts who might have interest in moving the technology to the market place.

Join Us!

We welcome any assistance you can provide. Please sign yourself or your company up for any of the above programs at our website, call us, or email us. Together, we can help create a new economy for Nevada. We look forward to working with you!

NSC

Nevada State College
Processes and Structure to support grants and contracts

Brief Summary:

Until October 24, 2011, Nevada State College did not have an Office of Sponsored Projects. Prior to that date, administrative support for all grants and contracts was provided by the Office of Finance and Administration, with daily grant management residing at the department level. With the addition of the Director of Budgets and Sponsored Projects Administration position, Nevada State College is now developing a centralized Sponsored Projects Office (SPO). The mission of the newly created SPO is to assist faculty with the identification of potential extramural funding sources and the writing/submission of proposals while ensuring compliance with federal, state, and private sponsor regulations, terms, and conditions. The Sponsored Projects Office and the Controller's Office (both offices report directly to the Senior Vice President for Finance and Administration) will work jointly on the post-award activities of setting up accounts, monitoring spending, preparing and submitting invoices for payment, preparing and submitting all required progress and financial reports, and the closing of all grant accounts.

Prior Processes:

The Office of Finance and Administration reviewed all grant applications and award letters, and obtained legal review of all campus contracts. Items were routed through the Senior Vice President for Finance and Administration, and the Controller's Office executed award account set up, grant invoicing, and grant reporting as required. The Controller's Office also shared quarterly reports with departmental grant managers on a secure network drive.

Departments maintained daily operations of grant funds and communicated with grant entities to provide the Office of Finance and Administration and the Controller's Office information as required. There was a significant amount of collaboration between the departments and the Controller. Principal Investigators often depended upon departmental coordinators to work through the details of their grant operations, and they kept in contact with award entities.

Indirect Cost Negotiation Agreement (F&A):

Nevada State College's current Indirect Cost Rate Agreement is 40% of direct salaries and wages, including fringe benefits.

The distribution of recovered F&A is:

40% Academic Affairs

40% Finance and Administration

20% Department

The Pursuit of Grants:

Grants are identified by individual faculty members or academic administrators and are typically pursued to meet specific initiatives on campus. A majority of grants at Nevada State College support curriculum development, technology advancement, and research or experiential opportunities for undergraduate students in the fields of nursing, education, social sciences, and physical sciences. With the addition of the Director of Budgets and Sponsored Projects Administration, the campus expects a notable expansion of grant applications and awards.

CSN



Memorandum Vice President, Academic Affairs

TO: Jane Nichols
Vice Chancellor, Academic & Student Affairs

FROM: Darren Divine, Ph.D.
Vice President, Academic Affairs

SUBJECT: Status of Sponsored Projects Office

DATE: October 25, 2011

The following information is provided for presentation to the NSHE Board of Regents Workforce, Research and Economic Development Committee to provide an overview of CSN's organizational structure and operations with respect to Resource Development (grants).

CSN's Office of Resource Development reports directly to the Vice President for Academic Affairs. Resource Development is a key component within CSN's Strategic Plan, and this office provides institution-wide support for projects and activities designed achieve the goals to:

- Prepare students to be "workforce ready";
- Encourage student accomplishment; and
- Achieve completion.

I. Organizational Structure of the Department

To ensure competitive proposal submissions, three full-time equivalent staff positions are assigned to the department including:

- a. Director
- b. Grant Writer (vacant)
- c. Classified support position

The director is experienced and comes to CSN from the business and industry sector, having achieved a productive portfolio of funded grants.

II. Work to ensure that adequate resources are available to effectively pursue external funding opportunities. Key strategies employed include:

- a. Increase awareness of external funding opportunities; and
- b. Increase timely and accurate applications for external funding.

III. Management and Performance Monitoring

- a. CSN faculties lead, and are accountable for, the direction of the funded project(s).
- b. The Office of Institutional Research provides benchmark and longitudinal data for each project.
- c. Financial Services provides financial reporting support including budgetary review, financial reporting, and proper assignment of funds within the institution; and
- d. The Division of Workforce and Economic Development contributes access to local, state and regional workforce data projections through EMSI.

IV. Internal Control Systems

- a. Audit readiness
- b. Monitoring of time and effort
- c. Financial transactions –expense reporting and billing external payers
- d. Financial reporting

CSN does not have a negotiated indirect cost rate, but will be pursuing this in the near future.

If you have any questions, please feel free to give me a call. I can be reached at 651-7545.

Thank you.

DD:mte

GBC

Great Basin College
Grants and Contracts Structure and Processes (October, 2011)

Responsible Offices

Great Basin College does not have one Sponsored Projects Office; rather, several offices/areas are responsible for all of the college's grants and contracts. The Grants Director, Dean of Applied Sciences, and the Continuing Education Director all have responsibilities regarding sponsored projects. The Controller oversees the financial aspects of all the sponsored projects areas. The Grants Director oversees institutional grants. All contracts relating to mining, industrial, and mechanical training are overseen by the Dean of Applied Sciences, and the Continuing Education Director oversees all other continuing education and training-related contracts.

Grants Policy/Procedures

Policy

Projects funded by grants can significantly enhance the educational opportunities available for the college's students. Grants can also be a significant source of additional revenue for the college. The college encourages its faculty and administrators to be watchful for grant opportunities .

Procedures

All grants or projects that involve the college must be approved by the institution prior to grant proposal submission or participation agreement. Once approved by the institution, all grants must be submitted by the grants office. Individuals may not submit grant proposals on behalf of the college. Grant applications must be preceded by an approval process described in GBC policy.

Once a grant project is approved, the grant is written by the Grants Director, with input by the principal investigator and key stakeholders or by the principal investigator with assistance from the Grants Director. Once the grant is prepared, the final document is reviewed by the Grants Director, Vice President for Academic Affairs, principal investigator and the President, who has final review and signature authority on behalf of the college.

Implementing Grants that are Awarded

If the grant proposal is approved through the funding agency, the president will receive a letter of notification. Copies of this letter will be sent to the Grants Director, controller and the principal investigator, all of whom must work together closely to ensure proper set up of the grant. Each has the following duties:

President

- Provides acceptance signatures for grant awards

Grants Director

- Maintains a central repository for all grant files and monitors the grants over the life of the grants.

Controller

- Sets up, revises, and ensures documentation of budgets, indirect costs and accounts in the financial system.

Principal Investigator (PI)

- Implements and provides follow through of the project according to the work plan in the grant proposal.

Grants Financial Policy/Procedures

Policy

It is essential that the controller's office, the grant manager, and the principal investigator for a given grant work closely on the financial aspects of grants. Granting agencies will often have different policies and procedures from the NSHE policies that govern state monies. Any differences should be recognized early in the history of a given grant. A good working relationship internal to the college as well as the relationship with the granting agency is essential to financial health: proper use of funds; up-to-date information on financial activity; assurance that grant funds are not under- or over-spent, and that the program meets the granted agency's expectations.

Procedures

Award Files

The Grants Director is responsible for ensuring that grant award files are maintained in accordance with all requirements set by the granting agency.

Establishing Grant Accounts

Upon receipt of a notice-of-award, the Grants Director will prepare and forward a completed project data sheet and notice-of-award to the controller's office, which will set up an account in the appropriate restricted fund. In addition to the normal college procedures and practices for personnel, travel, purchasing, etc., any restrictions from the granting source also govern expenditures for a grant or contract.

Indirect Cost Rates and Distribution. Indirect cost rates to be used in the submission of proposals for grants and contracts to outside agencies are computed at the federally negotiated indirect cost rate of 38% (or lower depending on the funding agency's policies). Due to GBC only recently acquiring a federally negotiated indirect cost rate (July 2011), a formal policy for the distribution of indirect costs that are recovered does not currently exist. An indirect account does exist, however, and is used to help cover interview expenses, host accounts and other items that can't be paid from state or other restricted accounts.

Personnel Activity Reports

The principal investigator of each grant-funded program will ensure that a "Personnel Activity Report" is completed for all individuals employed from grant funds. "A" contract employees must file at least semi-yearly. All other professional employees must file within three months after the end of each academic term, fall semester, spring semester, or summer session. Federal and college regulations require monthly "after-the-fact" certification of non-professionals who have devoted effort to any direct federal sponsored agreements. The GBC Personnel Activity Report meets this regulation.

Expenditures

Prior to initiating any purchases, the principal investigator will verify that the expense is allowable and meets the objectives of the grant. All grant accounts are reviewed monthly by the Controller. The granting agency will be invoiced on a quarterly basis or as specified by the granting agency. The

controller will submit all invoices, unless a narrative report is required for payment. In this case, the Grants Director will submit the report and request for payment with coordination from the controller's office.

Grant Revisions

Grant revisions are submitted to the granting authority for approval, as necessary and as required. The most common is the no-cost budget revision. Occasionally, the college will request permission from the granting agency to alter the scope of work if the project is not working out as originally planned.

Supplies/Equipment Inventory

Within two weeks of the close of each grant, the Grants Director will document the value of any remaining supplies and other expendable property purchased with federal grant funds. If the aggregate value exceeds \$5,000, a plan will be developed to utilize the inventory on other federally-funded projects or compensate the Federal government.

Documentation of the supplies will be maintained with the grant's program files. This documentation will be maintained regardless if the value exceeds \$5,000.

Close-Out Process

Grant Expenses. At the end of each grant the controller will provide the Grants Director with a detailed listing of all grant expenses, sorted by sub-object. The Grants Director will ensure that all expenses are allowable. The Grants Director and controller will use this report to complete any expenditure reports required by the grantor. All expenditure reports will be reviewed by the controller's office and submitted by the controller's office via the Grants Director. All programmatic reports will be submitted to the Grants Director by the principal investigator, in accordance with standards set by the grantor. The Grants Director will then submit the completed financial and programmatic reports to the grantor.

Receipts, Expenses, Excess Monies. To ensure that all grant funds have been requested, the grant close-out process includes the controller preparing a schedule summarizing all receipts and expenses incurred by each grant. All accounts receivable will be invoiced and any excess funds in grants will be returned to the grantor.

Record Retention. In accordance with OMB Circular A110, all grant records will be kept until the grant is audited and closed out. If a close-out audit is not scheduled, all records will be maintained for a minimum of seven years after the grant ends.

Equipment Disposal. In the case of disposition of equipment purchased with grant funds, the granting agency will be consulted regarding the proper method of disposition.

Contracts Policy/Procedures

Policy

The Nevada State Constitution vests exclusive control and administration of the NSHE in the Board of Regents. Therefore, the contracting party for any contract, grant, lease, or agreement is the Board of Regents. The Chancellor is the only person authorized by the Board to sign contracts and does so only after recommendation by the institutional president. The Chancellor may delegate signing authority except where it has been expressly retained by the Board or delegated elsewhere.

Procedures

Delegated Signature Authority To President. The Board of Regents and Chancellor delegate to campus the president's signature certain authority relative to the grants.

Delegated Authority To Vice President for Administrative Services (or Equivalent). The Board of Regents and Chancellor delegate the following signature authority to Vice President for Administrative Services certain authority relative to the grants.

Contracting Party

The contract should reflect that it is entered into by THE NEVADA SYSTEM OF HIGHER EDUCATION on behalf of Great Basin College.

Continuing Education and Career and Technical Education Contracting Procedures

1. A proposal/contract is composed explaining the course content, dates, time, location, and cost for non-credit professional development and/or workforce training. The price of the training includes the instructor pay, course materials, use of GBC facilities (if requested), mileage (if applicable) etc. Method of payment is usually mentioned in the proposal. (Newmont provides us with a purchase order number that we reference on all our invoices.)
2. If the company agrees to the proposal, they sign proposal/contract, which is then signed by GBC's appointed signature authority.
3. The day of the training, participants each complete the course registration form. The students also "sign in" on the official attendance sheet. The sign in sheet is forwarded to the company's human resources or payroll office as directed.
4. Certificates of Completion (less than eight credits) and Recognitions of Achievement (eight or more credits) are created for the participants and handed out at the end of the course or sequence of courses. The certificates list the course topics, completer competencies, date, number of hours attended, and instructor's name.
5. The entity for which the training was provided is invoiced, and a copy of the invoice is given to the GBC controller's office.
6. When the controller's office receives payment, a receipt is sent to the respective contract area. A spreadsheet is kept for each fiscal year showing the amount of training billed for and payments received to date. If an entity is over 45 days behind in payment, a reminder is sent to them.

Effects of NSHE Budget Cuts

Budget cuts have affected GBC's ability to increase grants and contracts. Salary cuts have forced faculty members to work more for less. Faculty members simply do not have enough time outside of teaching responsibilities to create and spearhead projects that could be grant-funded. Currently, GBC does not pursue grants that require substantial cash match due to the uncertainty of how much cash the college can expect to be able to commit. Grants that require small amounts of cash match are pursued so long as the cash match can be accomplished through salaries and fringe benefits. This is now an issue, however, due to faculty members' teaching responsibilities keeping them from working on additional projects. Finally, many contract training opportunities are not pursued or realized because of the lack of funding to undertake and sustain these programs.

TMCC



report

NSHE Report on Sponsored Projects
/ Structure and Process

Date: October 25, 2011

Prepared by | Dr. Barbara Wright-Sanders





introduction

The Office of External Funding and Grants was formally established in January, 2009 as a part of the TMCC reorganization plan. This office is responsible for advancing and supporting the priorities of the institution with external funding. The Office of External Funding and Grants researches and identifies sources of funding and manages the required development efforts.

Most recently this office has been tasked with the goal of raising \$5.5 million in federal and state grants to support the four strategic initiatives of the Major Gifts Campaign: Health Science and Science Programs, IGT Applied Technology Center Completion (includes all renewable energy), Instructional Equipment and TMCC Success First.

The Office of External Funding and Grants has developed and maintains relationships with potential funding agencies and with organizations that could partner for funding with TMCC. Internally, the office continually reaches out to all parts of the college community to explore funding options as well as how the college might best leverage its existing resources. The office is staffed by a Dean and a Program Officer.

office functionality

The Office of External Funding and Grants not only works to secure funding for various projects and operates as service and support to those seeking grants. Services provided range from assisting with formulas and calculations for determining costs such as personnel costs/fringe benefits to helping to determine the best sources for in-kind costs for purposes of match. The office also assists with required research, writing, editing, submission and tracking of proposals.

The office maintains a grants website that provides up-to-date information on grant opportunities and related requirements. Additionally, there is an online grant submission process that ensures that all affected parties are kept informed and that needed resources are available. Once a grant is awarded, an executive summary is prepared that identifies the grant, the period of the grant, grant identification number, principal investigator(s), budget, and reporting requirements. This document is provided to key administrators and others identified as partners in the grant.

Grant workshops are held at least twice a year and individual and small group sessions for assistance are always provided. The Office of External Funding and Grants encourages all interested parties to engage in the grants process and is always ready to assist anyone seeking support.

fiscal processes

The Office of External Funding and Grants utilizes the comprehensive financial and accounting services and processes that are already in place in the Office of the Controller. The office consists of two major units, Student Accounting and General Accounting Services/Accounts Payable. The Student Accounting unit is responsible for fee assessment, sponsored billing, collections and cashiering. The Accounting Services/Accounts Payable area is responsible for financial reporting, general ledger accounting, accounts payable, grant accounting and payroll.

All accounts are established and controlled by the source of revenue and restrictions placed on the use of the funds. Every accounting transaction must include a full account number including the fund number, agency number, and an object of expenditure or a revenue source code. A fund code is established for every major restricted source of funds. The three major financial post-award areas are described below:

- **Monitoring Functions:** Documents such as purchase orders, requisitions and journal vouchers are reviewed by the Accounts Payable staff who determine by the account if it is a grant account and if so, refer to the Grants Analyst. At this point a further review is conducted to ensure that the expense is allowable according to each grant and that funds are available. If all is in order the Grants Analyst will sign off, date, and give back to appropriate Accounts Payable staff for processing. If all is not in order the Grants Analyst will contact the Principal Investigator and discuss if a budget revision is necessary or will request that another TMCC account number be used.
- **Billing Functions:** The Grants Analyst is responsible for the submission of invoices for reimbursement of expenditures incurred. A TMCC generated invoice or other specific agency form is used to collect funds. The sponsor award document will dictate the type and frequency of invoicing. Certain awards allow electronic drawdown of funds and this is done by the Grants Analyst and/or the Controller. Funds are not drawn down in advance of actual expenditures (unless directed by the sponsoring agency). Individual terms/conditions of agencies or specific awards will be followed as appropriate.
- **Reporting Functions:** Each granting agency requires reports on activities and outcomes at specified intervals during the grant period. These include narrative reports detailing accomplishments, evaluation reports, and financial reports. The Grants Analyst along with the Controller will compile the data that is needed on the financial reports. The Principle Investigator is responsible for the other reports.

i&a funds

TMCC has a federally negotiated indirect rate of 33.5% through the Department of Health and Human Services that remains in effect until June 30, 2015. The college does not have a formal policy for the distribution and/or use of these funds.

summary

The Office of External Funding and Grants will soon enter its fourth year of operation. The office always seeks new and better ways to secure funds for TMCC and to provide support to those who wish to pursue grant opportunities. Fundraiser Howard L. Jones states, "Fundraising requires both optimism and realism. Without the first, few if any gift solicitation efforts would be made. Without the second, few if any would succeed." This quote is just as applicable to grant research and writing and is core to the operations in the Office of External Funding and Grants.

Office of External Funding and Grants

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WNC

Western Nevada College

Grants Structure and Process

Structure

The current WNC structure includes that of the PI, the Controller, and/or Business Office staff and the Grants Committee.

Application Process

The WNC grants committee must review all grants. It is the grant director's responsibility to schedule a review of the application with the committee. The WNC president or designee, in accordance with Chancellor's Memorandum 95-1, must sign all grant applications and contracts. An UCCSN 'Certificate of Signature Authority' must be completed and filed with the college's copy of a contract.

Award Files

An award file is maintained for each grant. The grant director is responsible for ensuring that grant award files are maintained in accordance with all requirements set by the granting agency. At a minimum, all award files will contain the following:

1. Request for proposal
2. WNC grant committee approval
3. Original grant application
4. Requests for revision
5. All notices-of-award issued by the granting agency
6. WNC project data sheet
7. All correspondence related to the grant
8. Personnel activity reports
9. Programmatic reports required by the granting agency
10. Inventory of year-end supplies inventory

Establishing Grant Accounts

Upon receipt of a notice-of-award, the grant director will prepare and forward a completed project data sheet and notice-of-award to the business office. The business office will set up an account in the appropriate restricted fund. In addition to the normal college procedures and practices for personnel and purchasing, any restrictions from the granting source also govern expenditures for a grant or contract.

Personnel activity reports

The director of each grant-funded program will ensure that a 'WNC Personnel Activity Report' is completed for all individuals employed from grant funds. The forms will be completed at least once each semester and maintained with the directors grant files.

Expenditures

Prior to initiating any purchases, the grant director will verify that the expense is allowable and meets the objectives of the grant.

Supplies inventory

Within two weeks of the close of each grant, the grant director will document the value of any remaining supplies and other expendable property purchased with federal grant funds. If the aggregate value exceeds \$5,000, a plan is developed to utilize the inventory on other federally funded projects or compensate the federal government. Documentation of the supplies is maintained with the grant's program files. This documentation is maintained regardless if the value exceeds \$5,000.

Monitoring

Grants are monitored by the PI to ensure that expenses comply with the approved budget. Grants are reviewed on an almost daily basis and tracked on budget worksheets to monitor the spending. Depending on the grant and PI, a monthly meeting is held with the appropriate supervisors to discuss budget to actual spending.

Additionally, one result of these monthly meetings is to identify if revisions are needed to the grant. If revisions were considered necessary, the PI would request approval from the granting authority and if approved, would prepare a revised Project Data Sheet to be entered into the system. Additionally, revisions are often made when there is carry-over money from a grant.

Close out process/Billing

1. At the end of each grant, the controller will provide the grant director a detail listing of all grant expenses, sorted by sub-object. The grant director and controller will use this report to complete any expenditure reports required by the grantor. All expenditure reports will be reviewed by the controller's office and submitted by the controller's office. The department's dean/director or designee, in accordance with standards set by the grantor, will submit all programmatic reports.

2. To ensure that all grant funds are requested, the grant closeout process includes the controller preparing a schedule summarizing all receipts and expenses incurred by each grant. All accounts receivable are invoiced and any excess funds in grants will be returned to the grantor.

3. The controller will maintain a master schedule of the indirect costs earned from each grant. Indirect costs posted to the general ledger are balanced to the master schedule. Final reports sent to the grantor are also balanced to the master schedule of indirect costs.

Record retention

In accordance with OMB circular A110, all grant records are kept until the grant is audited and closed out. If a close out audit is not scheduled, all records are maintained for a minimum of three years after the grant ends.

Equipment disposal

In the case of disposition of equipment purchased with grant funds, the granting agency is consulted regarding the proper method of disposition.

NSHE

NSHE System Sponsored Programs and EPSCoR Office [Revised October 2011]

In organization and function, the System Sponsored Programs and EPSCoR Office resembles the typical university sponsored programs office that provides preaward and postaward services for grants and contracts. The role of the SPO is to provide facilitation of externally funded research and other scholarly activities and the maintenance of fiscal accountability and regulatory compliance. The SPO is responsible for all financial actions and required reporting. Specific activities include: allocations and reporting of federal, state, and private funds; draw-downs, invoicing, and payments; maintenance of time and effort reporting records; and the preparation and monitoring of subawards/sub grantees.

Due to its organizational role and the types of grant programs it administers, however, the SPO goes beyond the traditional functional model and provides the types services and direct program assistance normally attributed to project and departmental administrators in large research universities.

The SPO's mission is to provide cradle-to-grave support for EPSCoR and other major programs that involve NSHE-wide coordination and distribution of funds. This support includes:

- proposal development and submission;
- grant and contract negotiation;
- account set-up for awards to include subawards to NSHE institutions and to universities in other states;
- account management;
- preparation, receipt, review, and allocation of intra-system solicitations;
- planning and coordination of outreach activities;
- coordination and submission of technical reports;
- financial reporting; and
- resolution of ad hoc issues and/or requests.

The SPO is funded almost entirely with "soft money." With the exception of three positions, the infrastructure for grants administration within NSHE depends entirely on external funding and the State Special Projects Matching Funds that leverage the System-wide federal grants.

As the State funds are received by the SPO, they are allocated directly to the externally funded grants to satisfy the matching commitments made at the time the grants are applied for. These State funds then become part of the total project cost and must be spent in accordance with the applicable agency and grant provisions. Most of the State funds are distributed to the NSHE institutions as matching support for their projects. Personnel and other costs for the SPO allocable to a particular program are budgeted in the grant proposals and are expended from either federal funds of State match as approved by the agency.

Efficient and compliant administration of federal grants requires the knowledge and skills of experienced research administration professionals, particularly with regard to

functions that must be centralized, such as financial administration, subawards, and compliance certifications.

The SPO includes Research Administrators that are the primary service providers to the various programs administered by the Office. These service-oriented professionals are highly competent practitioners in both preaward and postaward research administration and must continually work effectively with diverse groups in a time-sensitive environment.

Because of the collaborative nature of the grants it administers, the SPO also strives to be collaborative within the overall environment of research administration within the System. DRI, UNLV, and UNR also maintain sponsored programs offices that function well, led and staffed by experienced professionals, and all face common issues and challenges. Through regular contact with these offices and through meetings with NSHE research administrators, the SSPO always seeks ways to streamline practices and procedures and to advocate positive change.

The facilities and administration is calculated on the modified total direct cost of 9% and these funds distributed but maintained at the SPO to provide for general operating costs associated with the office.