Welcome!

Office of Research Administration (ORA)
Faculty Orientation
September 17th, 2013
Who Are We??

THE OFFICE OF RESEARCH ADMINISTRATION

The mission of the Office of Research Administration (ORA), under the Senior Vice President for Finance and Administration, is to provide administrative support to research faculty in the form of proposal preparation, contract and grant administration, billing sponsors and managing accounts receivable, and closeout of expired research projects. ORA also provides training to faculty and staff, initiates and implements policies and procedures, serves as a liaison with sponsors and regulatory agencies and ensures compliance with all Federal and State regulations.

- WEB SITE:  http://inside.mines.edu/Research_Administration
OFFICE ORGANIZATION

- PROPOSAL PREPARATION
- CONTRACT/SUBCONTRACT NEGOTIATION
- AWARD ADMINISTRATION
- BILLING, RECEIVABLES AND EFFORT REPORTING
ORA BASICS - PROPOSALS

- **IDENTIFY FUNDING OPPORTUNITIES**
  CSM SUBSCRIBES TO GRANT FORWARD
  ORA WEB SITE WITH LINKS TO SPONSORS
- **REVIEW PROGRAM ANNOUNCEMENTS AND PROPOSAL GUIDELINES**
  PREPARE TERMS AND CONDITIONS LETTER
- **ASSIST WITH PROPOSAL PREPARATION**
  WEB SITE WITH LINKS TO PROPOSAL/GRANT WRITING TIPS
- **PREPARE BUDGETS, SPONSOR FORMS**
- **PROVIDE LIASON WITH OTHER DEPARTMENTS**
  CONFLICT OF INTEREST
  BUDGET EXCEPTIONS
  COST SHARING
  COMPLIANCE
  HUMAN SUBJECTS RESEARCH
- **SIGN, PACKAGE, SUBMIT YOUR PROPOSAL**
- **FOLLOW UP WITH SPONSOR**
ORA BASICS – CONTRACTS AND SUBCONTRACTS

- RECEIVE, NEGOTIATE, SIGN AWARDS
- COORDINATE RESPONSE TO UNUSUAL TERMS AND CONDITIONS
  - PAYMENT AND DELIVERABLES SCHEDULE
  - PUBLICATION RESTRICTIONS
  - PROPRIETARY INFORMATION
  - INTELLECTUAL PROPERTY TERMS
- PROVIDE LIASON WITH SPONSORS
- INITIATE AND NEGOTIATE SUBCONTRACTS
- NON-DISCLOSURE AGREEMENTS - NDA’s
ORA BASICS – AWARD ADMINISTRATION

- PROJECT SET UP
- CONSORTIUMS
- PI CHANGES
- SOW CHANGES
- STUDENT CONTRACT APPROVALS
- TRAVEL APPROVALS
- PROPERTY APPROVALS
- PURCHASE ORDER APPROVALS
- NO COST EXTENSIONS
- REVIEW AND PREPARE COST TRANSFERS
- MONITOR PROJECT EXPENDITURES FOR ALLOWABILITY
- CLOSE OUT (FINANCIAL, TECHNICAL, PROPERTY, IP)
ORA BASICS – BILLING, RECEIVABLES, & EFFORT REPORTING

- INVOICE SPONSORS
  - COST REIMBURSABLE
  - FIXED PRICE

- PREPARE INTERIM FINANCIAL REPORTS

- CASH MANAGEMENT

- LETTER OF CREDIT

- RECEIVABLES AGING

- EFFORT REPORTING
BUT WAIT.....THERE’S MORE!!

- PROVIDE LIASON TO:
  - INTERNAL/EXTERNAL AUDIT AGENCIES
  - TECHNOLOGY TRANSFER
  - LEGAL SERVICES
  - PROCUREMENT SERVICES
  - PAYROLL

- CONSULT ABOUT:
  - UNUSUAL AGREEMENTS (MTA’S, MOU’S, etc.)
  - BUSINESS PRACTICES
  - SPONSOR RELATIONS

- MAINTAIN DATABASES

- REPORT ON:
  - MONTHLY PROPOSALS/AWARDS
  - ANNUAL SPONSORED ACTIVITY
  - COLLEGE AND DEPARTMENT ACTIVITY
WHAT A YEAR!!

- **NUMBER OF PROPOSALS:** 477
- **VALUE OF PROPOSALS:** $177 MILLION
- **VALUE OF AWARDS:** $61.8 MILLION
- **NUMBER OF AWARDS:** 606
Research Trends 10 year history

Total Award Volume

Fiscal year

FY04 FY05 FY06 FY07 FY08 FY09 FY10 FY11 FY12 FY13

Dollars

$70,000,000 $60,000,000 $50,000,000 $40,000,000 $30,000,000 $20,000,000 $10,000,000 $-
THANK YOU
ORA Proposal Preparation

New Faculty Orientation

September 17, 2013
Sharon Dehmlow, Proposal Manager
Phone: (303) 273-3411
Email: sdehmlow@mines.edu

Karen Haines, Proposal Analyst
Phone: (303) 273-3910
Email: khaines@mines.edu

Roberta Lott, Proposal Analyst
& Subcontract Administrator
Phone: (303) 384-2569
Email: rlott@mines.edu

The Proposal Team....
WORKING ON A PROPOSAL? PLAN AHEAD...

- Cost Sharing
- Indirect Cost Exception
- Subcontracts
- Human Subjects
COST SHARING

WHAT IS IT??

- It is the addition of CASH or IN-KIND contributions to the project by either the submitting institution or by a third party.

CASH - This can be provided by:
1. the PI (from a discretionary account, start-up funds, etc.)
2. the department (overhead return),
3. by a center (overhead return), or
4. by third parties.

IN-KIND – Examples are…
academic year effort plus fringe and overhead, or services for which we normally charge fees. It can also come from third parties in the way of services or data.
Why Do We Do It?

We provide cost sharing to a proposal if the sponsor requires it. They usually request that we “share” in the cost of the project or provide cost value. *CSM prohibits voluntary cost sharing in most cases.*

*CSM may allow cost sharing IF:*

- Budget limitations imposed by sponsor do now allow for PI or Co-PI effort. ORA then allows in-kind contributions of effort.
- Budget constraints do not provide for full coverage of a student; therefore the PI can provide cash to cover the costs.
- The sponsor limits the amount they will provide for tuition and fees (as in educational programs); graduate school is usually contacted for assistance.
WHAT SHOULD I DO IF I HAVE COST SHARING?

Contact your Department Head for help in determining what is available and appropriate.

Once you know what you want to provide, contact ORA to obtain help in budgeting the cost sharing.
Then What Happens??

You and your Department Head will sign the Cost Share form provided by ORA. ORA will document all of your cost sharing in the proposal check-off sheet.

ORA requires a signed letter authorizing cost share commitment from 3\textsuperscript{rd} parties.

Once you commit cost sharing in the proposal, it is MANDATORY!
COLORADO SCHOOL OF MINES – OFFICE OF RESEARCH ADMINISTRATION PROPOSAL/AWARD COST SHARING DOCUMENTATION

Principal Investigator:  
Sponsor:  
Proposal Title:  
Period of Performance:  
(Cost sharing must occur within the above period of performance)

Is the cost sharing in this proposal:  
Mandatory Committed:  
Voluntary Committed:  

Please detail all cost sharing that is mentioned in this proposal.

- Cash cost sharing requires an account number and an authorized signature for the account.*
- Contributed time requires the notation of the account number from which you are paid.
- Third party cost sharing requires a signed letter of authorization from the third party.

<table>
<thead>
<tr>
<th>In-kind</th>
<th>Cash</th>
<th>Description (Effort, Services, Travel, Supplies)</th>
<th>Provider (Faculty name, Name of 3rd Party, etc.)</th>
<th>Amount</th>
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Total of Cash Cost Sharing  
Total of In-kind Cost Sharing  
Grand Total All Cost Sharing  

Contributed Time Account No.  

Authorizations for Cash Cost Sharing:

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount</th>
<th>Account Number</th>
<th>Signature of Provider</th>
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Certification: I certify that the above represents all cost sharing for this project.

Principal Investigator’s Signature  
Date  

Department Head/Division Director’s Signature  
Date  

*PI: You will be required to review and re-certify the above information if this proposal is awarded. If changes must be made, please prepare a new form which reflects the actual cost sharing to be provided for the award. Over commitments of contributed time must be addressed at time of award.

*Whether charged directly to the research account, or to another account.
INDIRECT COST EXCEPTION

WHAT IS IT?

This occurs when a sponsor mandates a lower indirect cost rate than our on-campus rate, currently at 50%.

WHAT DO I DO?

You need to email your Department Head and get approval for the exception.

Can I ever request lower indirect costs just to help me with my budget?

No, not usually. Sometimes exceptions are made in special circumstances but are rare. In other words, don’t count on it!
If you have any subcontracts in your budget, ORA will need a proposal from them prior to proposal submission:

- CSM sub-recipient form signed by official
- Detailed budget
- Budget justification
- Statement of work

The sponsor may require additional forms, certifications, etc., specific to the sponsor.

Remember, we overhead only the first $25,000 of each subcontract in a budget.
**STATEMENT OF INTENT TO ESTABLISH A SUB-AWARD AGREEMENT**

**Application Title:**

**CSM Sponsor:**

**Proposed Project Period:**

**Proposed Subrecipient (Sub-award) Amount:**

<table>
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<tr>
<th>Totals: (Direct + Indirect)</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
<th>Year 5</th>
</tr>
</thead>
</table>

Facilities and Administrative Cost Rate Applied: ____%

List exclusions from the calculation of Facilities and Administrative Costs if not standard MTDC calculation:

In the event this grant application is funded, the appropriate programmatic and administrative personnel of each institution involved in this grant application are aware of the sponsor's sub-award grant policy and are prepared to establish the necessary inter-institutional agreement consistent with that policy.

**Subrecipient Organization:**

**Authorized Representative Signature:**

**Name:**

**Date:**
HUMAN SUBJECTS

If you have, human subjects involved in your proposal, contact Johanna Eagan in ORA at ext. 2589.
Rules to Live By.....

- Research means a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.

- (This includes classroom activities if you intend to publish the results)

- Human subject means a living individual about whom an investigator (whether professional or student) conducting research obtains

  - (1) Data through intervention or interaction with the individual, or
  - (2) Identifiable private information.

- If you are going to perform any human subject research, you must have IRB Approval before work begins. To initiate this process, send a completed application to humansubjects@mines.edu
HOORAY for BUDGETS
WHAT DO I NEED TO PROVIDE TO ORA?

- A completed proposal information form
- A budget in the standard CSM format
  - A detailed budget justification
- A copy of the solicitation, if applicable, or web link
  - A technical proposal or statement of work
    - Subcontract documents
- Other documents as required by the sponsor
Small Business Innovation Research Program Phase I Solicitation FY-2013 (SBIR) (Release-2)

PROGRAM SOLICITATION
NSF 12-605

REPLACES DOCUMENT(S):
NSF 12-548

Full Proposal Deadline(s) (due by 5 p.m. proposer’s local time):
December 03, 2012

Proposals submitted outside the window of November 3, 2012 - December 3, 2012 will be returned without review.

IMPORTANT INFORMATION AND REVISION NOTES

Proposals failing to address the times outlined in section A.4. Administrative and Technical Screening will be considered non-responsive and will be returned without review.

SBIR/STTR Funding Agreement Certification is now mandatory and will be required upon notification of an award recommendation. (See the Special Award Conditions section of this solicitation)

Fraud, Waste, and Abuse (FWA) Notification is a new requirement. (See the Special Award Conditions section of this solicitation)

Registration in the System for Award Management (SAM) is now mandatory. (See Additional Eligibility Information section of this solicitation)

A WEBINAR will be held for each topic within 6 weeks of the release date of this solicitation in order to answer any questions about the solicitation and/or topics. Details will be posted on the SBIR/STTR website: http://www.nsf.gov/pubs/sbirindex.jsp as they become available.

SUMMARY OF PROGRAM REQUIREMENTS

General Information

Program Title:
Small Business Innovation Research Program Phase I Solicitation FY-2013 (SBIR) (Release-2)

Synopsis of Program:
The Small Business Innovation Research (SBIR) Program stimulates technological innovation in the private sector by strengthening the role of small business concerns in meeting Federal research and development needs, including the commercial application of federally supported research results, and fostering and encouraging participation by socially and economically disadvantaged and women-owned small businesses.

The SBIR program solicits proposals from the small business sector consistent with NSF’s mission. The program is governed by Public Law 112-81 (SBIR/STTR Reauthorization Act of 2011). A major purpose of the legislation is to strengthen technological innovation and increase private sector commercialization. The NSF SBIR program is therefore in a unique position to meet both the goals of NSF and the purpose of the SBIR legislation by transforming scientific discovery into both social and economic benefits, and by emphasizing private sector commercialization. Accordingly, NSF has formulated broad solicitation topics for SBIR that conform to the high-technology investment sectors’ interests.

The four broad topics are:
- Biological and Chemical Technologies (BC)
- Education Applications (EA)
- Electronics, Information and Communications Technologies (EIC)
- Nanotechnology, Advanced Materials, and Manufacturing (NM)

For detailed description of the four topics reference section V, Proposal Preparation and Submission Instructions, A.13. Research Topics.
Proposal Information Form

Principal Investigator:

Co-Principal Investigators:

Title of Proposal:

Sponsor (Funding Agency) and Contact Person:

Is the proposal going through a center? If so give us the name of the center:

Does your proposal involve:

- Human Subjects or observation of people (If yes you should budget for an IRB).
- Cost Sharing (If yes, be prepared to provide details in your budget & justification, and a cost-share commitment letter from source of funds). No voluntary cost sharing! Must be sponsor-mandated.
- Indirect Cost Exceptions (if yes, provide exception requirement which must be in a solicitation or RFP. Get approval from your Department Head).
- Subcontracts (if yes, provide ORA with institution/company names and contacts. We require a proposal from them prior to submission).
- Capital equipment - fabricated or equipment ≥ $5,000 & related charges (If yes, please disclose if it is fabricated - we need an explanation if items are under $5,000). Capital equipment is exempt from indirect costs.
- Facilities Construction/Alterations (for large equipment or alterations you must get installation charges estimate from Facilities Management).

Please attach:

- A budget in the CSM format (found on ORA website under Quick Links/Forms)
- A budget justification (narrative)
- The statement/scope of work, or the technical proposal
# Proposed Budget

**April 1, 2013 - March 31, 2017**

<table>
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<tr>
<th></th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A. SALARIES AND WAGES</strong></td>
<td></td>
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</tr>
<tr>
<td>1. PI - 20 summer days</td>
<td>$8,818</td>
<td>$9,171</td>
<td>$9,538</td>
<td>$27,527</td>
</tr>
<tr>
<td>2. 1 Graduate Research Asst. @ $2,084/month</td>
<td>$25,008</td>
<td>$26,008</td>
<td>$27,049</td>
<td>$78,065</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td>$33,826</td>
<td>$35,179</td>
<td>$36,587</td>
<td>$105,592</td>
</tr>
<tr>
<td><strong>B. FRINGE BENEFITS</strong></td>
<td></td>
<td></td>
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<tr>
<td>1. 30.8%* of A1</td>
<td>$2,716</td>
<td>$2,861</td>
<td>$3,071</td>
<td>$8,649</td>
</tr>
<tr>
<td>2. GRA Tuition, fees &amp; health insurance</td>
<td>$20,034</td>
<td>$21,837</td>
<td>$23,803</td>
<td>$65,674</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td>$22,750</td>
<td>$24,699</td>
<td>$26,874</td>
<td>$74,322</td>
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<tr>
<td><strong>C. OTHER DIRECT COSTS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Expendable supplies</td>
<td>$20,000</td>
<td>$20,000</td>
<td>$20,000</td>
<td>$60,000</td>
</tr>
<tr>
<td>2. Travel - domestic</td>
<td>$2,000</td>
<td>$2,000</td>
<td>$2,000</td>
<td>$6,000</td>
</tr>
<tr>
<td>3. Lab Fees/Analyses</td>
<td>$1,500</td>
<td>$2,000</td>
<td>$2,500</td>
<td>$6,000</td>
</tr>
<tr>
<td>4. Subcontract Costs</td>
<td>$15,000</td>
<td>$16,000</td>
<td>$17,000</td>
<td>$48,000</td>
</tr>
<tr>
<td>5. Publication Costs</td>
<td>$500</td>
<td>$600</td>
<td>$700</td>
<td>$1,800</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td>$39,000</td>
<td>$40,600</td>
<td>$42,200</td>
<td>$121,800</td>
</tr>
<tr>
<td><strong>D. TOTAL DIRECT COSTS</strong></td>
<td>$95,576</td>
<td>$100,478</td>
<td>$105,660</td>
<td>$301,715</td>
</tr>
<tr>
<td><strong>E. INDIRECT COSTS (45% of D excluding B2 and subcontractor costs exceeding $25,000)</strong></td>
<td>$33,994</td>
<td>$35,388</td>
<td>$36,836</td>
<td>$106,218</td>
</tr>
<tr>
<td><strong>F. TOTAL PROJECT COST</strong></td>
<td>$129,571</td>
<td>$135,865</td>
<td>$142,496</td>
<td>$407,933</td>
</tr>
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* Rates are increased 1% each year.
## CSM Budget Justification

<table>
<thead>
<tr>
<th>Line Item</th>
<th>Dollars</th>
<th>Justification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries and wages</td>
<td>15,000</td>
<td>Support for Prof. Squier is requested for the duration of the grant. Prof. Squier will perform all measurements with the proposed system using the existing CSM multiphoton microscopes.</td>
</tr>
<tr>
<td>Other direct costs – I</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expendable Supplies</td>
<td>2,400</td>
<td>Samples (dyes and labeled and unlabeled specimens) and materials for sample preparation (microscope slides, pipette tips, reagents, etc.) are needed for pulse measurement and compression in a variety of samples.</td>
</tr>
<tr>
<td>Conference Travel</td>
<td>2,000</td>
<td>Travel and registration fees for Prof. Squier to present this research at the Conference on Lasers and Electro-Optics, May 2013</td>
</tr>
<tr>
<td>Other direct costs – II</td>
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</tr>
<tr>
<td>Mirrors</td>
<td>2,000</td>
<td>Mirrors are needed to couple the DP-TROG system to the imaging system.</td>
</tr>
<tr>
<td>Lenses</td>
<td>1,500</td>
<td>Lenses are needed to couple the DP-TROG system to the imaging system at the appropriate NA.</td>
</tr>
<tr>
<td>Computer</td>
<td>1,500</td>
<td>A dedicated computer will record and interpret the pulse measurement data. Present computers are tasked with imaging and cannot be used for this project. Successful completion of this project is imperative on having an independent computational and control computer.</td>
</tr>
<tr>
<td>Detector</td>
<td>4,800</td>
<td>The CSM lab has only two, high quantum efficiency photon-counting units. These are often dedicated to imaging work. A new unit that can be dedicated to these measurements is requested.</td>
</tr>
<tr>
<td>Translation stages</td>
<td>2,500</td>
<td>Translation stages will be used to optimize delay lines and fine time timing.</td>
</tr>
<tr>
<td>Optical mounts</td>
<td>3,000</td>
<td>The mirrors and lenses will require mechanical mounts to secure them to the optical table.</td>
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</table>
Statement of Work

The theme of earth-abundant materials is becoming increasingly pervasive in the PV and related fields because of the critical links to cost, environmental impacts, scalability and energy security. To scale technologies to the terawatt scale and to try to achieve costs approaching a “dollar per watt” ultimately, will necessitate the use of abundant, low-cost materials throughout the module, as well as in the balance of systems (BOS). In addition, low-capitalization, green-process technologies such as solution will need to be developed to complement the basic materials use and be consistent with the resource base in India. This research theme builds activities based on extensive expertise at CSM in the areas of Si, thin film based PV (inorganic, organic and hybrids), and nanoscience and technology (also organic and hybrids).

First, we will explore the more earth abundant CuZnSnS/Se system (CZTS) and enhance PV performance using nanostructured absorbers and electrodes to control absorption and carrier transport in thin film semiconductor systems. Second, given the significant industrial interest in rapidly developing a Si and related thin film infrastructure in India, we will start projects aimed at overcoming key technical barriers identified by the core industrial partners for the rapid growth of Si based PV both in wafer and thin film forms. Specifically, researchers at CSM will characterize the defect structures of films in both systems using a wide variety of optical and magnetic resonance techniques.

A statement of work (SOW) is a formal document that captures and defines the work activities, deliverables, and timeline a vendor must execute in performance of specified work for a client.
Your proposal analyst will:

- Check or create the budget
- Read the solicitation/instructions
- Create internal documents for signatures
- Fill out sponsor forms/submission packages
- Check subcontract documents, if any
- Obtain administrative signatures
- Assist with electronic submission or submit proposal by other means
Questions???

Thank You!
RESEARCH DATA MANAGEMENT

What is it? What do I need to do?

Katy Ginger
Research Data Services
Office of Research and Technology Transfer
ginger@mines.edu   ext. 3681
Nature of Research: Data and Complexity

- Research problems are increasingly interdisciplinary & complex
- Collaboration requires open sharing of data
- Data are highly heterogeneous and largely incompatible in their native formats
- Data is digital
Nature of Publishing: A Rethink

- Your publication is advertising for the science contained therein
- Contains only a portion of the results, data, figures, code or software from your investigations

Copyright: American Meteorological Society
New Requirements Placed on Research Data

“.... unclassified research supported wholly or in part by U.S. Government funding should be stored and publicly accessible to search, retrieve and analyze.”

(February 22, 2013)
Internal & External Drivers

**OSTP, NSF, OMB & Federal Agencies**

Require access to federally funded scientific research

**Other Institutions**

May require access (i.e. publishers, community, collaborators)

**CSM Strategic Plan**

Strategic Area 2: Enhance Mines’ distinction as a research institution

Strategy 1: Foster faculty and staff development in scholarly activities...
Research Data Defined

- Factual info to support & validate research findings
- Analog or digital
- Observational, numerical or in-situ
- Imagery, audio or output from equipment
- Created from experiments or gathered as part of projects, surveys or other means
- Includes physical collections & software
- Collected by you or others
Active and ongoing

*collection, organization, care-taking & preservation*

of research data through its lifecycle of interest and usefulness to scholarship, science and education.

With the end goal of *discovery, retrieval and reuse* for new science, education and even general public interest.
Why Care About Research Data Management

**Researcher (YOU)**
- Achieve greater research outcomes & impacts
- Safe guard data
- Deal with the data deluge
- Facilitate collaboration & reuse
- Validate research
- Provide accountability & transparency (research chain– data to publications)
- *Conform to institutional, publisher & funder policies*

**Institution (MINES)**
- Enable leading-edge research & spur economic activity
- Achieve Mines research aspirations
- Increase research outcomes
- Reduce legal risk & data loss
- Attract best researchers
- Attract more research $$
- Enable future access by today’s actions
- *Conform to funder’s policies*
Data Timeline

Proposal: use DMP template and include data collection, storage and management costs

Active project: plan for data collection, management, retention and sharing; develop a backup plan

End of project: deposit/share data, enable discovery by providing data descriptions

NOTE: DMPs apply to NSF grants but are expected to apply to all federal agencies soon
What do I Need to Do?  With My Students

- **Data management**: provide or work with Research Data Services to develop data organization and backup methods (e.g. filenaming conventions)

- **Digital data**: use the supplemental file mechanism to associate data with a theses/dissertation

- **For physical samples**: ensure proper storage within your department and provide information how one might access the samples
Where Can I Store My Data?

- **Mines Institutional Repository**: data, software, posters, reports, theses/dissertations; $1000/TB

- **Own Server Hosted by CCIT**: buy own server and CCIT can host but CCIT does not provide system administration

- **Other Repository**: discipline or other institutional or publisher repository; follow their policy and procedures

- **Cloud Services**: purchase services from a provider and follow their policy and procedures
Why Deposit to a Repository (Mines or Other)?

- **Ensures public access** – as required by NSF or NIH
- **Ensures safety** – won’t walk off campus with students
- **Ensure against deletion** – accidental or future purging of files
- **Enables sharing** – with students, colleagues and other institutions
- **Enables data citation** – assigned DOIs or handles allow you to reference data within publications
Immediate Tips – Proposal Stage

- Proposal process is more competitive
- Top proposals do science well; a good DMP could give your proposal the edge
- Use NSF DMP template: [http://rds.mines.edu/RDS-templates](http://rds.mines.edu/RDS-templates)
- Get assistance writing a DMP. Sample plans: [http://rds.mines.edu/RDS-example-plans](http://rds.mines.edu/RDS-example-plans)
- *Complete proposal 2 weeks prior* to deadline (DMP, complex budgets, subcontracts)
Immediate Tips – Storage, Share, Students

- Check if your department has existing servers for data storage and organization; use network drives
- Deposit data, publications with Mines Repository
- Develop data management procedures for common use by your grad students
- Encourage students to attend Data Management Tips seminar (TBD)
- Express your needs: https://www.surveymonkey.com/s/8VM6CYZ
### Methods for addressing noise and error in controlled source electromagnetic data

**Title**
Methods for addressing noise and error in controlled source electromagnetic data

**Keywords**
electromagnetics; inversion; noise; polarization; statics

**Abstract**
Controlled source electromagnetic geophysical surveys are excellent ways to obtain information about earth with applications including hydrocarbon and mining prospecting, hydrogeophysical detection and monitoring studies. Invariably, however, various types of noise and errors obscure signal for desired targets, making it difficult to obtain meaningful results. This work develops a method for extracting signal from both time- and frequency-domain surveys using a novel application of the equivalent source technique. Uncorrelated random noise, such as that due to receiver coil misalignment and location errors in time, static shifts in the observed electric field amplitude data due to near-surface geologic features in frequency, can be treated by the equivalent source method. The method can be used in addition to traditional processing techniques. The effectiveness of the method is demonstrated through application to single-survey and time-lapse datasets, both synthetically generated and collected in the field. The presence of low-frequency data that earth porous materials noticeably increases the amplitude and decreases the phase of measured electric field data. By analyzing the sensitivity of cross-well EM measurements to the in-phase and quadrature components of the equivalent source conductivity (directly associated with the low-frequency polarization effect), we can quantify the forward modeling and a gradient-based approach with Tikhonov regularization for the inverse problem. This information may be used in turn to improve the ability to, for instance, monitor saturation changes in geothermal fields.

**Publisher**
Colorado School of Mines

**Date**
2013 Spring

**Type**
Text

**Language**
English

**Degree Name**
Doctor of Philosophy (Ph.D.)

**Department**
Geophysics
Who Can Help Me?

**Katy Ginger**
Research Data Services
Office of Research and Technology Transfer
[ginger@mines.edu](mailto:ginger@mines.edu)
phone: 3681, location: Library 266-A
web: [http://rds.mines.edu](http://rds.mines.edu)

**Services**: data plans, training, organizing, share/deposit, data citation, institutional publishing
CONTRACTING AND SUBCONTRACTING
ORA CONTACTS

- Michele Land, PreAward/Contract Manager
  303-273-3405
  mland@mines.edu

- Johanna Eagan, Contract and Compliance Administrator
  303-384-2589
  jeagan@mines.edu

- Roberta Lott, Subcontract Administrator
  303-384-2569
  rloott@mines.edu

If you receive award documents from a sponsor, please send them to: awards@mines.edu
- **Grant** – Project is implemented independently of the Sponsor, and there is no anticipated involvement between the Sponsor and Recipient during performance of an activity.

- **Cooperative Agreement** – Substantial involvement is anticipated between Sponsor and Recipient during the planning and performance of the activity.

Federal Grant and Cooperative Agreement Act
31 USC 6304 6305
“Financial Assistance”

Governed by 2 CFR 220 (formerly A-21) and 2 CFR 215 (formerly A-110)

CSM granted Expanded Authorities Under 2 CFR 215
- One-time 12 month no-cost extension
- Budget deviation thresholds
- 90-day pre-award spending
**Contract Basics: Definition**

**Contract**
- Principal purpose is to acquire specific property or services for direct benefit or use of the sponsor;
- Sponsor prepares the Scope of Work;
- Often called a “procurement mechanism” or referred to as an acquisition.

**BEWARE**, contracts can be challenging in a number of ways:
- more time consuming to negotiate
- more complex to administer because they are governed by specific terms and conditions
- require specific standards of performance
- **legally binding**
- involve cultural and legal issues of foreign sponsors
Memorandum of Understanding
Letter Agreements
Teaming Agreements
Standard Research Agreements
Purchase Orders
“Consulting” Contracts
Grants with terms and conditions
Others: NDA/CDA, MTA, Data Use Agreements

Remember! It is the content of the agreement that will determine if it is a contract, not the title!
Fixed-Price: A firm-fixed-price contract provides for a price that is not subject to any adjustment on the basis of the contractor’s cost experience in performing the contract. This contract type places upon the contractor maximum risk and full responsibility for all costs and resulting profit or loss. It provides maximum incentive for the contractor to control costs and perform effectively and imposes a minimum administrative burden upon the contracting parties.

(FAR Part 16.2)
Cost Reimbursement: Cost-reimbursement types of contracts provide for payment of allowable incurred costs, to the extent prescribed in the contract. These contracts establish an estimate of total cost for the purpose of obligating funds and establishing a ceiling that the contractor may not exceed (except at its own risk) without the approval of the contracting officer.

(FAR Part 16.3)
Contracts must be negotiated in accordance with federal and State law, School policy, and specific project needs.

Contracts previously negotiated with an organization may be a good starting point, but may not be appropriate for new work, and should be carefully reviewed.

Only fully-executed contracts can be assigned a fund number.
CONTRACTS: COMMON DELAYS

- Proposal not submitted through ORA
- Revised budget required
- Unacceptable terms and conditions that require negotiations
- Compliance concerns (i.e. export, human subjects, conflict of interest, cost share)
- Contract received unsigned by Sponsor
CONTRACTS: TROUBLESOME CLAUSES

- Financial Terms and Reporting
- Payments
- Scope of Work
- Deliverables: Inspection and Acceptance
- Publication Restrictions/ Nondisclosure Requirements
- Intellectual Property Rights
- Export Control
- Protection of Students
- Termination
- Audit
- Indemnification
Federal grants with expanded authorities include automatic authorization for 90 day pre-award spending.

Pre-award spending on contracts requires explicit authorization from Sponsor.

To request an At-Risk Account, please complete the Request for an At-Risk Account Form (on our website) and return it to ORA for processing.
SUBCONTRACT BASICS: DEFINITIONS

- **Vendor:**
  - Provides “off the shelf” goods/services
  - Provides goods/services to multiple purchasers
  - Operates in a competitive environment
  - Not subject to research compliance obligations

- **Consultant:**
  - Individual
  - Specialized, highly technical, temporary services
  - Unsupervised by PI
  - “work for hire”

- **Subcontractor:**
  - Independent 3rd party
  - Performs substantive programmatic work
  - Significant intellectual contribution to the project
  - “Collaborative” process
  - Subject to research compliance obligations
1. PI identifies subcontractors at proposal stage
2. Once prime award is accepted by CSM, PI completes “Information required for a Subcontract” AND Purchase Requisition and submits to ORA
3. ORA prepares subcontract and submits to Subcontractor with applicable prime award flow-down terms

   Additional information requested from Subcontractor (i.e. A-133 Certification, W-9, Rate Agreements)

4. Subcontract review and negotiations (if necessary)
5. Subcontract execution
SUBCONTRACTS: COMMON DELAYS

- Request to Issue Subcontract not submitted by PI
- Incomplete information from PI
- Incomplete information from Subcontractor
- Negotiations of terms and conditions
  - FARs, Intellectual Property, State of Colorado Special Provisions, etc.
- Prior Approval to enter into a subcontract required by prime award
New Faculty Orientation
Post Award Management
"I thought 'good accounting practices' was just a suggestion!!!"
Introduction

- Debbie Rickaby – Post Award Manager and Grant Administrator
- Lisa Martinez Conover – Grant Administrator
- Christina Reveles – Grant Administrator
- Monica Hensen – Grant Administrator & Closeout Specialist
Lisa Martinez Conover
iconover@mines.edu  Phone x3912
- Geology and Geological Engineering
- Mathematical and Computer Sciences
- Physics
- Applied Mathematics and Statistics
- Electrical Engineering and Computer Science
- Petroleum Engineering
- Geophysics

Christina Reveles
creveles@mines.edu  Phone x2293
- Chemical and Biological Engineering
- Economics and Business
- Liberal Arts and International Studies (LAIS)
- EPICS
- CERI
- Civil and Environmental Engineering

Monica Hensen
mhensen@mines.edu  Phone x2186
- Chemistry and Geochemistry
- SPACE
- Mechanical Engineering
- Graduate Studies
- Minority Engineering
- Mining Engineering

Debbie Rickaby
drickaby@mines.edu  Phone x3429
- Academic Affairs
- Metallurgical and Material Engineering
Roles and Responsibilities

Award management is a shared responsibility between the principal investigator & ORA.

- Allowable costs are determined by the Grant or Contract Terms

What are allowable costs?

- OMB circular A-21, “Cost Principles for Educations Institutions” defines allowable as:
  - **REASONABLE** – A prudent business person would have purchased this & paid this price. It must be necessary for the performance of the research.
  - **ALLOCABLE** – It can be assigned to the activity on some reasonable basis & the assigned costs benefits the project.
  - **CONSISTENTLY TREATED** – Like costs must be treated the same in like circumstances. A cost is either a direct cost to the project or is allowable as a F&A cost which is paid for by the indirect cost paid by the sponsor.
Principal Investigator

- Responsible for all aspects of the sponsored project administration, both technical and financial.
  - All research and technical reporting
  - Monitor Project Period of Performance
  - Monitor Budgets & Balances includes Cost Share
  - Closeout Memo (example in folder)
Post Award Office

- Reviews the following for compliancy to award terms and conditions and institution policies and procedures:
  - Travel authorization & expense forms (TA & TE)
  - Purchase Requisitions
  - HR salary implementation contracts
  - Interdepartmental Sales & Service forms (ISSV)
  - Journal Entries & Salary Reallocations
    (examples of above in folder)

- Prepares and submits financial reports as required by contract or grant.

- Assists PI’s with financial & compliancy questions.
Document, Document, Document!

- Bottom line: Complete files protect you in an audit.
- Should have receipts with enough detail to support the charge.
- Written explanation of how the expense benefited the project
Travel

Travel Forms must be turned in prior to traveling on any research project. Forms are located on Travel website under Controller’s Office.

**TA** (Travel Approval)
- Must have prior approval before travel can be taken.
- Any travel charged to a research project without prior approval could be at PI’s risk.
- Important to submit first

**TE** (Travel Expense)
- TA must be attached along with back up paperwork provided by Travel.
- Index/Fund No. cannot be changed from original TA without resubmittal of a new TA.

### TA (Travel Approval)

<table>
<thead>
<tr>
<th>CWID*</th>
<th>Last Name*</th>
<th>First Name*</th>
<th>Department Abbreviation*</th>
<th>Phone*</th>
<th>Title*</th>
<th>Department</th>
<th>Office Function</th>
<th>Division</th>
<th>Program*</th>
<th>Maximum Amount</th>
<th>Voucher#</th>
<th>Amount</th>
<th>Approver*</th>
<th>Date</th>
<th>Signature*</th>
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<tbody>
<tr>
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</table>

**Note:**
- Verify if you have domestic or foreign travel budgeted within Start date of prjt and within End date of prjt.

**Please indicate reason for travel and how it pertains to the project for which you are working.**
Employee contracts are located on the CSM Website under Human Resources and Graduate Office.

Contracts are filled out by PI and their dept. which then are submitted to HR for ORA approval.

Types of Contracts:
• Academic Faculty
• Research Faculty
• Graduate Student
• Hourly Student

Important – Please check funding availability and dates before submitting a contract to prevent delay with pay.
HRS Contracts– Graduate Student

### Contract Summary

<table>
<thead>
<tr>
<th>Student Name</th>
<th>Age (as of August 1)</th>
<th>22 to 25</th>
</tr>
</thead>
<tbody>
<tr>
<td>CVID</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Email Address</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contract Submission Date</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contract Term</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contract Start Date</td>
<td>09/01/12</td>
<td></td>
</tr>
<tr>
<td>Contract End Date</td>
<td>12/31/12</td>
<td></td>
</tr>
<tr>
<td>Part of Annual Contract?</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>

### RATA Implementation Spreadsheet for 2012-2013 Academic Year - Semester-by-Semester Implementation

#### Student Status and Intended Support Level

<table>
<thead>
<tr>
<th>Student Status</th>
<th>Intended Coverage</th>
<th>Cost Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FTE</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td>Sim-Monthly Stand</td>
<td>Y1</td>
</tr>
<tr>
<td></td>
<td>Pay Tuition (YH)</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>Pay CSU Health Insurance (11/24/11)</td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td>Pay CSU Mandatory Fees (11/24/11)</td>
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<tr>
<td></td>
<td>Differential Tuition Fellowship Award</td>
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</tr>
<tr>
<td></td>
<td>Total Stand</td>
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</tr>
<tr>
<td></td>
<td>Tuition</td>
<td>$876.00</td>
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<tr>
<td></td>
<td>Fees</td>
<td>$1,608.10</td>
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<tr>
<td></td>
<td>Insurance</td>
<td>$1,905.10</td>
</tr>
<tr>
<td></td>
<td>Cost to Department or PI</td>
<td>$1,905.10</td>
</tr>
<tr>
<td></td>
<td>Total Cost</td>
<td>$1,905.10</td>
</tr>
</tbody>
</table>

### Institutional Min/Max Requirements

| R | N | N | N | N | 0.67 | $0.00 |

### Fund Sources

#### Effort Type

<table>
<thead>
<tr>
<th>% Effort</th>
<th>Cost</th>
<th>% Effort</th>
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</thead>
<tbody>
<tr>
<td>0.00%</td>
<td>470053</td>
<td>0.000%</td>
</tr>
</tbody>
</table>

### Approvals and Special Notes

<table>
<thead>
<tr>
<th>Name</th>
<th>Date</th>
<th>Comments:</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

Last Modified 08/15/12
Things to Consider:

- Do you have equipment budgeted?
- Do you have enough funding in your budget?
- Is your equipment fabricated or does it stand alone?
  Fabricated = 5909
  Equipment = 5906

(questions can be directed to Matt Roach, Plant Fund Accountant)
How do I pay for service centers on campus?

- ISSV/ Interdepartmental Sale/Service Voucher

- For approved service centers, poster printing, air/gas charges and SPACE services. Selling department will provide Fund and invoices for sale/service.

- Invoices must be included with the ISSV in order for the expense to be approved (except for posters)

- Not to be used in place of the cost transfer form, these are for sales and services on campus only.
Most commonly requested for non-budgeted items such as:

- Computer(s)
- Laptop(s)

Forms are provided on ORA website or by Grant Admin. Approval required by Fund Manager and ORA Director before purchase can be made.
How do I correct accounting errors in my Project?

- Cost Transfer/Journal Entry (after the fact reallocation of costs)
- CSM Cost Transfer Policy (90 days from the date of original charge)
  
  (Go to InsideMines.edu and type “Cost Transfer Policy into the search box”)

- Must meet allowability criteria
## Cost Transfers/Journal Entries

- Correct Index Codes
- Correct Account Codes
- Clear Descriptions
- Detailed reason for change
- Backup!

a) must be trailhead/eprint copies of credit card receipts or emailed receipts will not be accepted.

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<table>
<thead>
<tr>
<th>Index</th>
<th>Fund</th>
<th>Org</th>
<th>Acct</th>
<th>Prog</th>
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</thead>
<tbody>
<tr>
<td>(Should Be)</td>
<td>Description/Document (DO, VR, ISSV, etc.)</td>
<td>Amount</td>
<td>(Original)</td>
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<tr>
<td>Reason for Change</td>
<td>Original Date Transaction Date</td>
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</table>

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**DON’T Forget**

**BACKUP**

**Documents!!!**
Index/Fund No. is assigned once the award has been finalized through the contracts and proposal stage beginning with the number 4 followed by the agency:

0 = Federal
3 = State
5 = Private Domestic
7 = Private International

Also Includes:
- IDC Rate
- Sponsor Contact
- Tech. Contact
- Billing Terms/Address
- Deliverables
- Equipment Budgeted
- Other Provisions
- Type of Award (Fixed or Cost Reimbursement)
Where can I monitor fund activity?

- Self Service Banner (SSB)
- Eprints
- Internet Native Banner (INB)

- Examples of each of these are in your folder.
Mastering the use of Self Service Banner takes Practice. Schedule an Appointment with your Grant Admin or sign Up for classes!
E–Prints

- Trailhead/Self Service/Finance/eprints
- Labor distribution reports
- Fund balance checkbook detail
- Inception to date

Like the previous option this option takes time to master. Call your Grant Administrator and set up a tutorial session or sign up for classes when they are available.
This is the financial system used by administration.

If you are interested in utilizing this system please fill out the Banner Finance System application found on the controllers office website.
Billing Department

- Barbara Schneider – Grant Billing Administrator
  - Invoicing
  - Collections

- Eleanor Maes – Consortium Administrator
  - Consortium Management
  - Payment Drawdowns
  - Time and Effort Reporting Manager
  - Cost Share Monitor
Billing and Invoicing

- Invoice sponsor according to the billing instructions in Contract or Grant
  - May require interaction with PI as some invoicing is dependent upon deliverables.

- Records Payments from Sponsors
  - Payment may be dependent on deliverables

- Reconciles payment differences between Sponsors and CSM

- Collects delinquent balances from Sponsors
Federally-mandated Time & Effort Certs are the Government’s means of verifying this sponsor-financed promised work,

These Certification will be sent to you for review & signature after each semester & **must be returned to ORA within 30 days**.

The Government has a mandated a timeframe for returning the signed Certifications, so please take this *seriously*.

Signed by a person with first-hand knowledge(Employee, PI, Dept Head or Co-PI).

If errors of +/- 5% don’t sign and contact ORA.
Cost Sharing
(hardcopy example in notebook)

- Cost share is the portion of total project costs borne by sources other than the sponsor and has become an increasingly common aspect of project funding.

- Cost share may be in the form of cash, in-kind, third party, or all three. Details of cost share will be clarified through the proposal process.

- It is the responsibility of the faculty to keep track of the promised cost share.

- CSM has an internal form which will be sent to you by ORA in accordance with the policy of the sponsor. This serves as an aid to tracking your cost share.

- Some sponsors require monthly reporting of cost share, others require reconciliation at the end of the project. ORA will assist with this.
Closeout emails are *electronically generated* and emailed based upon the end date of the award.

- 90, 60, 30 day pre closeout reminders
- 0, 30, 60, 90, 120 day, etc. after end of project

Closeout memos accompany the electronic emails. Must be returned to ORA to fully close the award.

(examples in folder)
This notice is being sent to inform you that cost reimbursement contract CSM Grant #400xxx with Sandia National Laboratories has an expiration date of 09/30/2013.

As of this expiration date, all technical work should be complete. All costs related to the work should be incurred and recorded in the accounting system. These requirements are stipulated by sponsor terms and conditions.

In order to initiate the project closeout, please mark and complete the applicable items on the Closeout Memorandum at the link at the end of this email.

Once complete please return the memorandum to your Grant Administrator in the Office of Research Administration within two weeks of the above date.

The financial status of this project is located on the attached report. If the expenditure amounts are incorrect, please contact your Grant Administrator.

Thank you,
Office of Research Administration

CLOSEOUT MEMORANDUM:
COLORADO SCHOOL OF MINES
CLOSEOUT MEMORANDUM

TO: ____________________  DATE: ____________

DEPARTMENT: __________________________________________

FROM: Office of Research Administration  NAME: ____________________

SUBJECT: Closeout of CSM – FRS Grant No. ____________  Banner No. ____________

Your research project cited above expired on: ____________. In order to initiate the project closeout, please mark and complete the items below which are applicable. In order for the Office of Research Administration to close this project in a timely manner, the completion and return of this form to the ORS within two weeks of the above date is greatly appreciated.

Please note: A project is not considered closed until all financial and contractual data has been submitted and accepted by the sponsoring agency. These requirements are stipulated by State and Federal rules and regulations.

SECTION 1: CONTRACTUAL STATUS

Please check (X) and/or provide the following information:

YES  NO  N/A

A. _______ An extension has been requested of the Sponsor through date of: ____________

   If yes, stop here and return this form to ORA. If no, please continue.

B. _______ I have submitted all deliverables as specified in the contractual agreement.

   If yes, and if applicable, please attach a copy of the transmittal letter and the cover page of the Final Report. If no, please indicate the expected submittal date for the deliverables:

   COMMENTS:

C. _______ Were there any inventions, patents, royalties, or subcontracts associated with this project? If yes, please explain (if more space is required, please use the back of this form).

   COMMENTS:

D. _______ Was equipment purchased on the contract? If yes and the sponsor retains title to the equipment, please check the following that are applicable:

   a. Functional & being utilized
   b. Functional & not being utilized
   c. Non-functional

   If yes, please identify the pieces returned (if more space is required, please use the back of the form).

   COMMENTS:

D. _______ The equipment is being used on another Federal project. If yes, please identify the CSM Grant-FRS #: ____________  Banner #: ____________

D. _______ I wish to request the title to the equipment be transferred to CSM.

   COMMENTS:

SECTION 2: FINANCIAL STATUS

The P.I. authorizes the following actions to be taken to close out this project:

YES  NO  N/A

A. _______ My account is overdrawn. Please transfer the lump sum deficit to Discretionary Account Number: ____________

   If you do not have a discretionary account, please indicate this and one will be opened for you.

   COMMENTS:

B. _______ My contract has money remaining. If it is Cost Reimbursable, Closeout sheet of Budget If it is Fixed, transfer the remaining balance to Research Development Fund Number:

   COMMENTS:

C. _______ Please delete my outstanding encumbrance(s). If no, please transfer them to Account Number: ____________

   COMMENTS:

D. _______ There is in-kind/donated Cost Sharing associated with this project, and I have sent a Cost Share report to my Sponsor. If yes, please provide a copy of the document documented Cost Share report. If no, please work with ORA to submit with closing documents.

   COMMENTS:

Signature of P.I.: ____________________  Date: ____________

Page 1 of 2
Thank You