

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

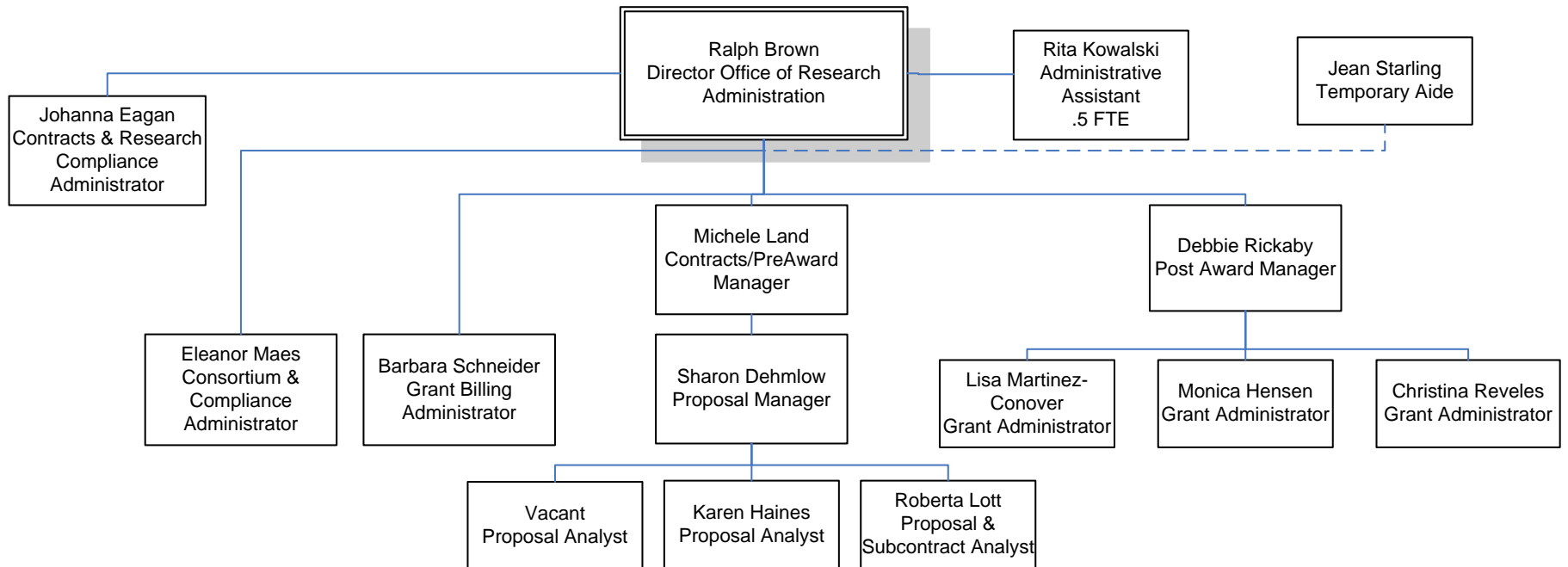
OFFICE ORGANIZATION

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



Office of Research Administration

September 2013



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

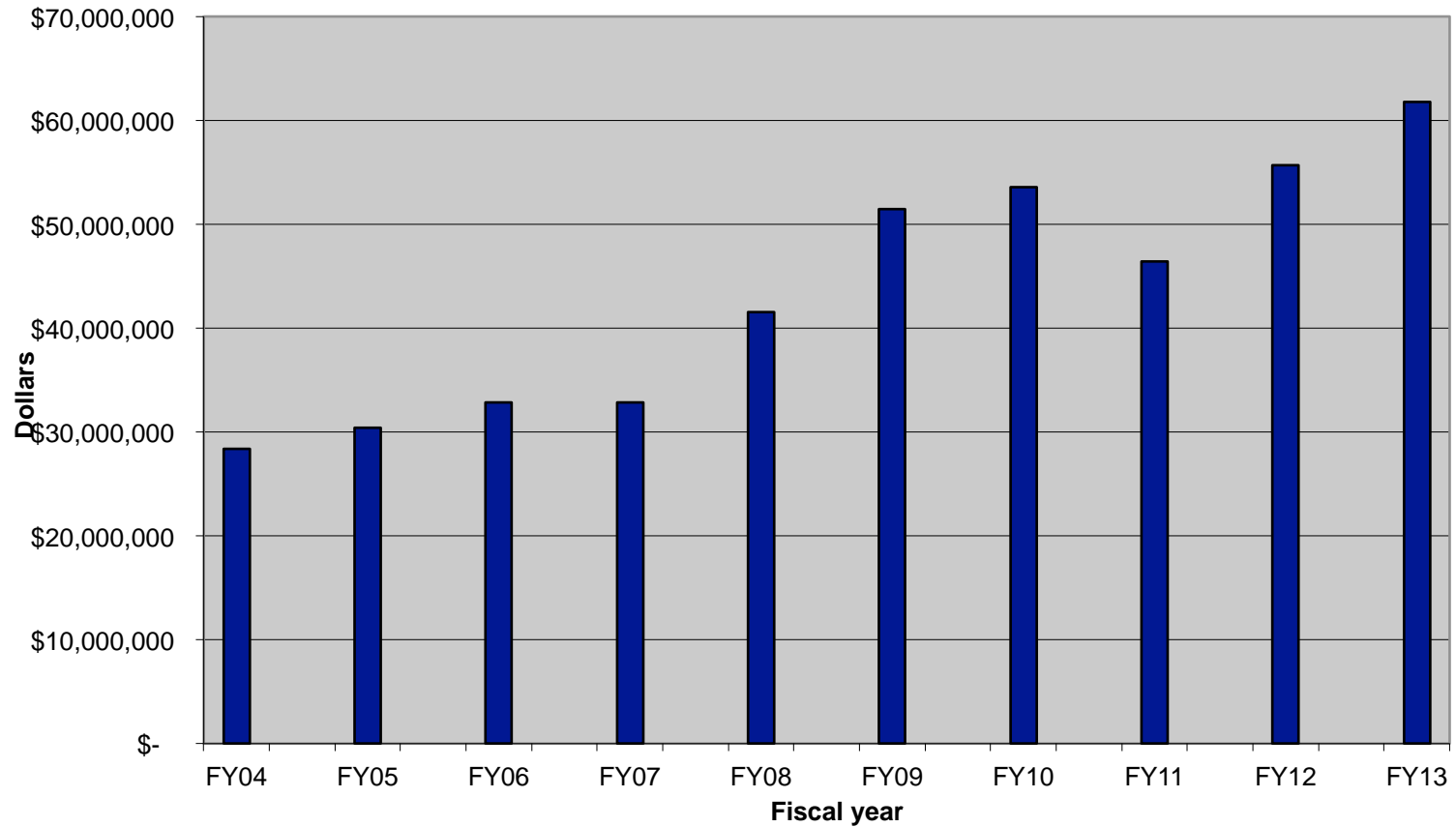


WHAT A YEAR!!

- 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





ORA Proposal Preparation

New Faculty Orientation

September 17, 2013

The Proposal Team....

Sharon Dehmlow, Proposal Manager

Phone: (303) 273-3411

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Email: khaines@mines.edu

**Roberta Lott, Proposal Analyst
& Subcontract Administrator**

Phone: (303) 384-2569

Email: rlott@mines.edu

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 not 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 3rd 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**

Cost Share Form

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	<input type="checkbox"/>
	Voluntary Committed	<input type="checkbox"/>

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.

In-kind	Cash	Description (Effort, Services, Travel, Supplies) <small>(give details; if effort, amt. of CY, AY, or sum.)</small>	Provider <small>(Faculty name, Name of 3rd Party, etc.)</small>	Amount
<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	<input type="checkbox"/>			

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:

Item	Amount	Account Number	Signature of Provider

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!**

SUBCONTRACTS



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.

Office of Research Administration

1500 Illinois St.
Golden, CO 80401-1887
Phone: 303-273-3411, Fax: 303-384-2173
E-mail: sdehmlow@mines.edu

STATEMENT OF INTENT TO ESTABLISH A SUB-AWARD AGREEMENT

Application Title:

CSM Sponsor:

Proposed Project Period:

Proposed Subrecipient (Sub-award) Amount:

Totals: (Direct + Indirect)	Year 1	Year 2	Year 3	Year 4	Year 5

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:

3707 + 303 + 300 + 500 + 500

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



National Science Foundation
Directorate for Engineering
Industrial Innovation and Partnerships

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 items 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 a new requirement 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 a new requirement. (See Additional Eligibility Info 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/eng/iip/sbir/index.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, increasing 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 main purpose of the legislation is to stimulate 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 benefit, and by emphasizing private sector commercialization. Accordingly, NSF has formulated broad solicitation topics for SBIR that conform to the high-technology investment sector's interests.

The four broad topics are:

- Biological and Chemical Technologies (BC)
- Education Applications (EA)
- Electronics, Information and Communication Technologies (EI)
- Nanotechnology, Advanced Materials, and Manufacturing (NM)

For detailed description of the four topics reference section V. Proposal Preparation and Submission Instructions, A.10. Research Topic.

Proposal Information Form

PROPOSAL INFORMATION

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 \geq \$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

Budget



PROPOSED BUDGET April 1, 2013 - March 31, 2017

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

* Rates are increased 1% each year.

Budget Justification

CSM Budget Justification

Line Item	Dollars	Justification
Salaries and wages	15,000	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.
Other direct costs – I		
Expendable Supplies	2,400	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.
Conference Travel	2,000	Travel and registration fees for Prof. Squier to present this research at the Conference on Lasers and Electro-Optics, May 2013
Other direct costs – II		
Mirrors	2,000	Mirrors are needed to couple the DP-TROG system to the imaging system.
Lenses	1,500	Lenses are needed to couple the DP-TROG system to the imaging system at the appropriate NA.
Computer	1,500	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.
Detector	4,800	The CSM lab has only two, high quantum efficiency photon-counting pmts. These are often dedicated to imaging work. A new pmt that can be dedicated to these measurements is requested.
Translation stages	2,500	Translation stages will be used to optimize delay lines and fine tune timing.
Optical mounts	3000	The mirrors and lenses will require mechanical mounts to secure them to the optical 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.

Statement of Work

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???



COLORADOSCHOOL OF **MINES**



RESEARCH DATA MANAGEMENT

What is it? What do I need to do?

2013-09-17

Katy Ginger

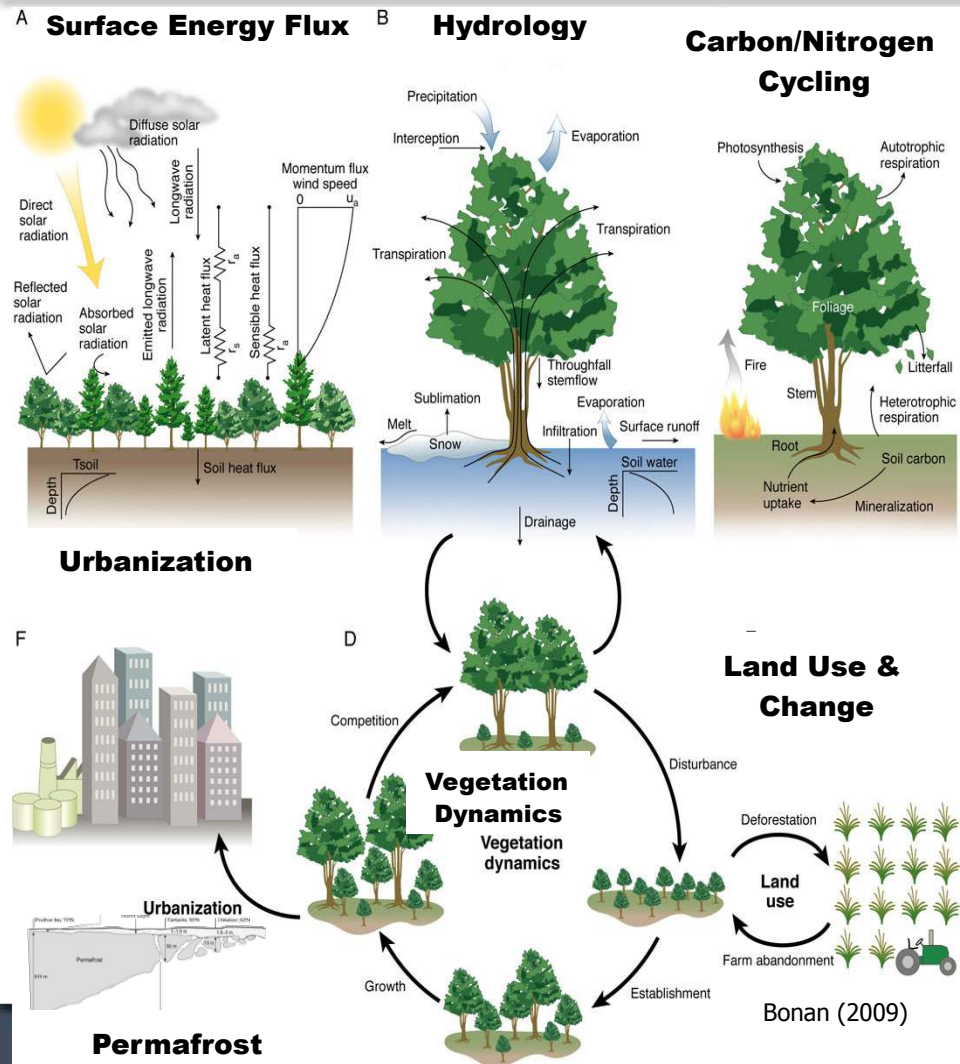
Research Data Services

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

U.S. Government Directive & Public Access

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



Research Data Management

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***



- ▶ **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>
- ▶ Get assistance writing a DMP. Sample 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>



Mines Repository

publish.mines.edu



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COLORADO SCHOOL OF MINES

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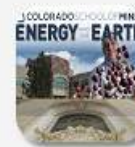
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[University Publications](#) (0)



COLORADOSCHOOLOFMINES

Full-View of an Item

Object	 View this item	Methods for addressing noise and error i... - PDF Document (4 M
Bookmarkable URL	http://hdl.handle.net/10217/77966	
Authors	MacLennan, Kristopher	
Title	Methods for addressing noise and error in controlled source electromagnetic data	
Keywords	electromagnetics ; inversion ; noise ; polarization ; statics	
Advisor	Revil, Andre	
Committee Member	Minsley, Burke	
Committee Member	Oden, Charles	
Committee Member	Benson, David A.	
Committee Member	Klimek, Robert	
Subjects	Electromagnetism Inversion (Geophysics) Polarization (Electricity)	
Description	Bibliography: pages 109-116. xii, 129 pages : illustrations (some color)	
Abstract	Controlled source electromagnetic geophysical surveys are excellent ways to obtain information about applications including hydrocarbon and mining prospecting, hydrogeophysical detection and more studies. Invariably, however, various types of noise and errors obscure signal for desired targets, making time-lapse surveys, the magnitude of the measured difference is often on the order of the noise. Controlled source measurements, leading to incorrect inversion 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-lapse static shifts in the observed electric field amplitude data due to near-surface geologic features in frequency domain equivalent source method can either be applied individually to data from each measured time-gate or from all times or frequencies measured. 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 data, both synthetically generated and collected in the field. The presence of low-frequency (less than 100 Hz) earth porous materials noticeably increases the amplitude and decreases the phase of measured electromagnetic surveys. By analyzing the sensitivity of cross-well EM measurements to the in-phase and quadrature components of quadrature conductivity (directly associated with the low-frequency polarization effect) can be quantified for the forward modeling and a gradient-based approach with Tikhonov regularization for the inverse problem. A reasonable amount of noise, the distribution of both the in-phase and quadrature conductivities can be estimated. This information may be used in turn to improve the ability to, for instance, monitor saturation change in geothermal fields.	
Publisher	Colorado School of Mines	
Date	2013 Spring	
Type	Text	
Language	eng	
Degree Name	English	
Department	Doctor of Philosophy (Ph.D.)	
Department	Geophysics	
Department	Colorado School of Mines	



Who Can Help Me?

Katy Ginger

Research Data Services

Office of Research and Technology Transfer

ginger@mines.edu

phone: 3681, location: Library 266-A

web: <http://rds.mines.edu>

Services: data plans, training, organizing, share/
deposit, data citation, institutional publishing



CONTRACTING AND SUBCONTRACTING

Office of
Research
Administration
Faculty
Orientation
2013

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
rlott@mines.edu



If you receive award documents from a sponsor, please send them to: awards@mines.edu



FEDERAL GRANTS



- **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**

FEDERAL GRANTS

- “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



CONTRACT BASICS: TYPES

- 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!

CONTRACT BASICS: FUNDING MECHANISMS

- **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)



CONTRACT BASICS: FUNDING MECHANISMS

- **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: ACCEPTANCE

- 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**



PRE-AWARD AT-RISK ACCOUNTS

- 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:

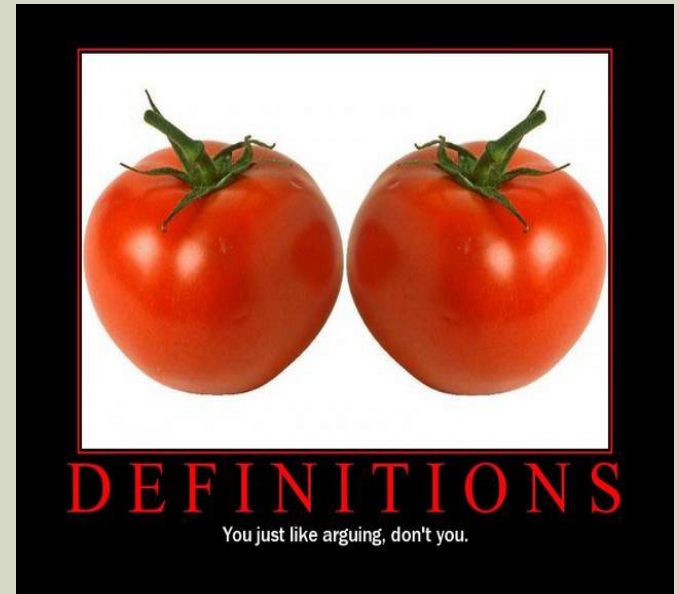
- Provides “off the shelf” goods/services
- Provides goods/services to multiple purchasers
- Operates in a competitive environment
- Not subject to research compliance obligations

■ 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



SUBCONTRACTS: CSM PROCESS

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

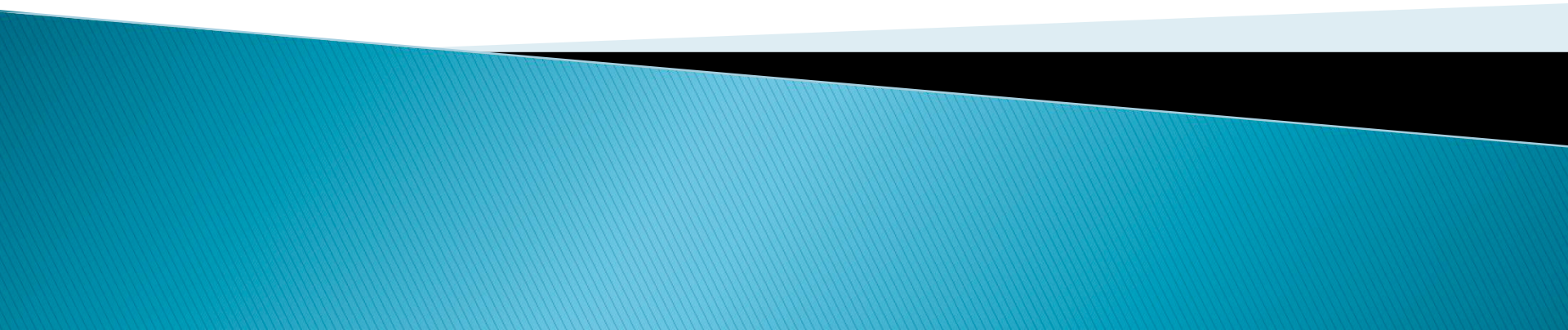
SUBCONTRACTS: COMMON DELAYS

- 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

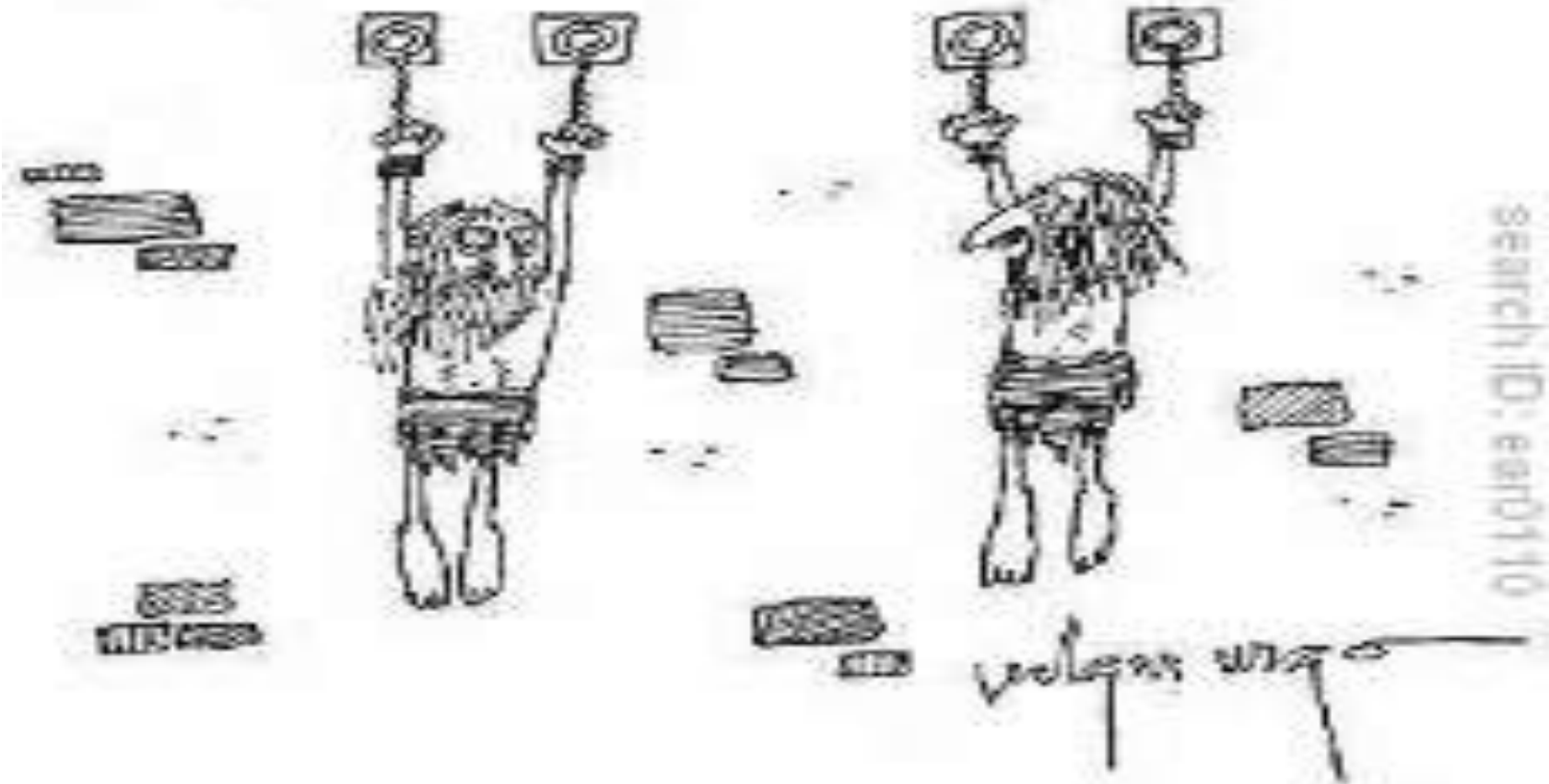


New Faculty Orientation

Post Award Management

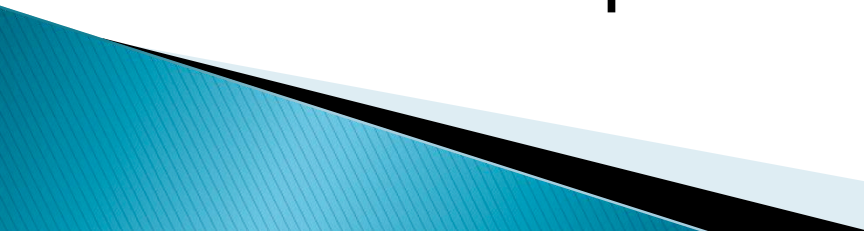


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"I THOUGHT 'GOOD ACCOUNTING PRACTICES'
WAS JUST A SUGGESTION!!!"

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

lconover@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
- CERl
- 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 Educational 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 benefit 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.

Documentation

- ▶ 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.

COLORADO SCHOOL OF MINES

Travel Request and Authorization

*Denotes required fields

TA-
TE #

Accounts Payable use only:

Budget OK: Y N C D M

Voucher #

Date _____ By _____

Date _____ By _____

CWID*		Last Name*		First Name*		Estimated Expenses Reimburse to Traveler		Amount
Title*		Department Abbreviation*		Phone*		Per Diem	Days	Rate
Destination* Verify if you have domestic or foreign travel budgeted						Meals		-
Departure Date* Within Start date of prjt						Return Date* Within End date of prjt	Lodging	-
Purpose and Justification of Travel* (For research projects, provide justification as it pertains to the project to be charged)						Registration Fee		
						Personal Car		
						Rental Car		
						Taxi or Bus		
						Other-Specify Official Function		
						Total Reimbursable		
						Traveler		\$ -
						Expenses to be paid directly by school		
						Other - Specify VR/PO#		
						Vendor		
						Airline Ticket		
						Registration Fee		
						VR/PO# Vendor		
						Total Travel Expense		\$ -

Please indicate reason for travel and how it pertains to the project for which you are working .

Index	Fund	Org.	Account	Prog.	Maximum Amount	Fund Approval Signature if not DH/DD	Date
470053					Actual		

	YES	NO	Attached
Does this trip involve Student International Travel			
If yes, attach a list of the students to this TA form and submit to the Office of International Programs (OIP) for signature approval.			

	YES	NO	Attached
Is trip for Professional Consulting (see Section 3.1 of CSM Procedure Manual)			
If yes, have appropriate forms been filed?			

Traveler*	Date	Department Head/Division Director Signature*	Date
Supervisor	Date	Office of Research Administration	Date
OIP Approval (Required for Student International Travel)	Date	Associate Provost (Required for all International Travel)	Date

Contact information for Preparer, if other than Traveler Ext

Cash Advance Requested \$
Refer to Financial Policy for allowable cash advance amounts.

NOTE: Cash advances are normally available one week before travel occurs.

HRS Contracts – Faculty

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

Colorado School of Mines Faculty HRS Form
Academic Faculty e-form
(Academic New Hires, FT instructors, FT Lecturers, and FT coaches)

Help/Instructions: <http://www.is.mines.edu/hr/Foms/Eforms%20instructions%20with%20NOTE.pdf>

Please fill out all yellow fields below:

Academic Faculty Information		CWID		
Full Name (last, first)	Address			
Home Telephone Number		Department		
Is this employee a new hire to CSM? Please type "yes" if applicable		(If yes, please provide current resume and transcripts AND register employee for new employee registration)		
Will this form establish a new position ? Will this form fill vacancy ? Is this a revision ? Is this charge out ?		Date/Name/Phone Number of Person Preparing this form:		
Academic Position Attributes				
Position Number	Start Date	End Date		
Job Title	% of Effort (whole number)			
9 Month Salary at 100% Effort	Duties			
Would you like to get paid in 9 or 12 paychecks?				
Comments Box:				
Academic Faculty Position Changes and Revisions Only				
Previous or Current Job Title:	Change to:			
Previous or Current Salary:	Change to:	% Change: #DIV/0!		
Previous or Current Start-End Dates:	Change to:			
Previous or Current % of Effort:	Change to:			
(Please use whole number for percent of effort)				
Position Funding				
Index - Fund - Ctg - Account - Program	Start Date	End Date	Amount to be paid	% Distribution
470053				
Important Information as a result of calculations based on the information given above:				
Monthly (9 months) at 100% effort is:		Total amount per year to be split over 9 or 12 months:		
\$ -	\$ -			
Monthly (9 months) at current % effort:		Monthly amount to be paid according to specified payment plan.		
\$ -	\$ -	#DIV/0!		
VPAA Approval	Forwarded to Fund Manager:		(Please type Name and Date)	
x	Forwarded to DH/DD:		(Please type Name and Date)	
(Signature and Date)	Forwarded to Employee:		(Please type Name and Date)	
Office of Research Services:	Budget Office:			

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

Purchase Requisition

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)

PURCHASE REQUISITION		AUTHORIZATION(S)		Purchase Order No	
COLORADO SCHOOL OF MINES					
REQUISITION NO. No 29601		DEPARTMENT HEAD OR PRIN. INVESTIGATOR <i>Piper Taylor</i>			
VENDOR NAME <i>Acme Lasers</i>		DEPARTMENT OR PROJECT <i>Physics</i>		This document invalid without Purchase Order Number	
ADDRESS		ORIGINATOR <i>Requestor</i> EXT		DATE	
PHONE#		ADDITIONAL APPROVAL <i>ORA Signature</i>			
Date Needed		For Equipment Purchases over \$1,000: I certify that no like equipment is available on campus for my use			
DESCRIPTION OF ARTICLES OR SERVICES NEEDED	QUAN	UNIT MEASURE	UNIT COST	AMOUNT	ACCOUNT CODE - 10 digits
<i>Multibeam Parabolic Pulse Kublertz Terawatt Laser</i>	<i>1</i>		<i>10K</i>	<i>10,000</i>	<i>F.O.A.P</i>
					<i>XXXXX - XXXXX -</i>
					<i>5XXX - 1200</i>
<i>Please keep in mind account code accuracy is critical especially for subcontracts and Capital Expenditures</i>					
TOTALS THIS PAGE					

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.

COLORADO SCHOOL OF MINES
INTERDEPARTMENTAL SALES/SERVICE VOUCHER

VOUCHER # **Nº** 04495

DATE ____/____/____
MO. DAY YRL.

Buying Department						
Line	FUND	ORG	ACCT	PROG	AMOUNT	CODE**
1						
2						
3						
4						
5						
Total						
Approval	Date	Approval	Date	Approval	Date	

Selling Department						
Line	FUND	ORG	ACCT	PROG	AMOUNT	CODE**
1						
2						
3						
4						
5						
Total						
Approval	Date	Approval	Date	Approval	Date	

Description of Sales/Service _____

Instructions

- Approvals of buyer and seller must be obtained before sending to Accounting
- Seller may only use interdepartmental sales Banner Acct code (7xxx) or same Banner Acct code as buyer
- NOT** to be used to move budget or actual expenses

Form: 6062

Distribution

- White - Accounting
- Canary - Buying Department
- Pink - Selling Department

** For Plant Facilities Use Only
Revised: 10/05

General Purpose Equipment



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.

Colorado School of Mines
Office of Research Administration
1500 Illinois Street
Golden, Colorado, 80401-1887



Justification for Purchase of General Purpose Equipment

"General purpose equipment" means equipment, which is not limited to research, medical, scientific or other technical activities. Examples include office equipment and furnishings, modular offices, telephone networks, information technology equipment and systems, air conditioning equipment, reproduction and printing equipment, and motor vehicles.

"Special purpose equipment" means equipment which is used only for research, medical, scientific, or other technical activities. Examples of special purpose equipment include microscopes, x-ray machines, surgical instruments, and spectrometers"

Date of Request: _____	
Principal Investigator: _____	
Department: _____	
Project Title: _____	
Sponsor: _____	
Fund #(s) 470053-22000- 1200	
Description of Equipment:	Example: Dell XPS-410 desktop computer costing approximately \$1,500
How will the equipment be used in the conduct of the research proposed?	Example: Complex computational analysis is required to perform the work on this project. The computer will be used to perform this analysis and will be dedicated exclusively to this project.
Please return this form to your ORA grant administrator prior to purchasing any items of general purpose equipment on federal research funds	
Required Signatures	
I certify that these costs, normally treated as F&A costs, should be accounted for as direct costs in this project and be used solely for research purposes.	
PI Signature: _____	Date: _____
Prepared by: _____	Date: _____
ORA Approval: _____	Date: _____
Note: Forms may be signed by electronic or original signature. Forms may be e-mailed or faxed to your grant administrator at 2173.	

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.

(Should Be)					Description/Document# (PO, VR, ISSV, Etc.)	Amount	(Original)							
Index	Fund	Org	Acct	Prog			Index	Fund	Org	Acct	Prog			
Reason for Change _____						Original Date Transaction Date _____								

(Should Be)					Description/Document# (PO, VR, ISSV, Etc.)	Amount	(Original)							
Index	Fund	Org	Acct	Prog			Index	Fund	Org	Acct	Prog			
Reason for Change _____						Original Date Transaction Date _____								

(Should Be)					Description/Document# (PO, VR, ISSV, Etc.)	Amount	(Original)							
Index	Fund	Org	Acct	Prog			Index	Fund	Org	Acct	Prog			
Reason for Change _____						Original Date Transaction Date _____								

(Should Be)					Description/Document# (PO, VR, ISSV, Etc.)	Amount	(Original)							
Index	Fund	Org	Acct	Prog			Index	Fund	Org	Acct	Prog			
Reason for Change _____						Original Transaction Date _____								

DON'T Forget BACKUP Documents!!!

Signature: _____ Department: _____ Extension: _____ Date: _____

DR = Increase to Expense/Decrease to Revenue
CR = Decrease to Expense/Increase to Revenue

Note: To adjust cash deposits, a debit would remove the amount from the original Banner Fund/Org and a credit would post the amount to the new Banner Fund/Org.

Project Setup

RESEARCH PROJECT SUMMARY SHEET

Proj/Index#: 470043 Center:
FOAPAL: 470043-47200-1200

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

Principal Investigators: Academic Year Effort Summer Department:
 + Robert Knecht 5 months 11 days EPICS
 SUZANNE SCOTT

CSM Sponsor: Petroleum Institute Department: Chemical Engineering

CSM Sponsors: Date: Increment: Pass thru: In-Kind:
 Petroleum Institute 9/7/2012 \$180,500.00

Award#: Proposal No. 10511 Type: Cost Reimbursement

Title: Preparing Global Engineers

Budget Period: 1/1/2011 to *12/31/2012
Project Period: 1/1/2011 to *12/31/2012

Total to Date: Sponsor(s): \$180,500.00
CSM: \$0.00
Total: \$180,500.00

Indirect Cost Rate: 49.00%

Rate negotiated with PI

Cost Sharing: 0.00%

Sponsor Contact:

Sponsor Technical Contact:

CSM Contact:
Michele Land, Contract Specialist (303) 273-3405

Billing Terms:

Billing Address:

Deliverables:
ATTN PI: When a project has any required written reports, a copy of the top page describing the type of report and the cover letter showing when it was mailed must be sent to your Grant Administrator in ORA to complete the project file

Equipment Title Provisions:
Title vests with CSM

*Other Special Provisions:
*Travel - both domestic and international budgeted.

Also Includes:

- IDC Rate
- Sponsor Contact
- Tech. Contact
- Billing Terms/Address
- Deliverables
- Equipment Budgeted
- Other Provisions
- Type of Award (Fixed or Cost Reimbursement)

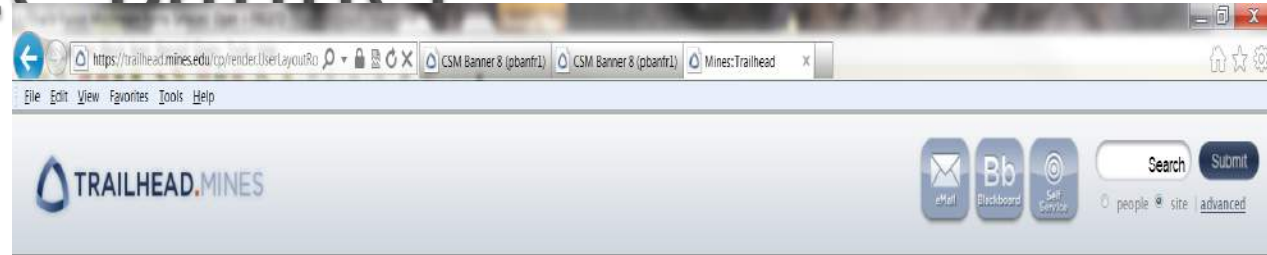
Where can I monitor fund activity?

- ▶ Self Service Banner (SSB)
 - ▶ Eprints
 - ▶ Internet Native Banner (INB)
- Examples of each of these are in your folder.

Self Service Banner

- ▶ Trailhead
- ▶ Self Service
- ▶ Finance
- ▶ Budget
- ▶ Queries

Mastering the use of Self Service Banner takes Practice. Schedule an Appointment with your Grant Admin or sign Up for classes!



Report Parameters

Grant Inception to Date Report			
By Account			
Period Ending Jun 30, 2013			
As of Sep 13, 2012			
Chart of Accounts	Colorado School of Mines	Commitment Type	All
Fund	All	Program	All
Organization	All	Activity	All
Account	All	Location	All
Grant	11145 Nuclear Structure and Astrophysics		

Query Results

Account	Account Title	GY13/PD02 Adopted Budget	GY13/PD02 Budget Adjustment	GY13/PD02 Adjusted Budget	GY13/PD02 Year to Date	GY13/PD02 Commitments	GY13/PD02 Available Balance
5100	Classified Fringe Benefits	0.00	0.00	0.00	0.00	0.00	0.00
5118	Grad Research Assistant Tuition	39,458.00	257,440.00	296,898.00	222,611.84	0.00	74,286.16
5125	Independent Contractors	0.00	0.00	0.00	4,923.09	0.00	(4,923.09)
5130	Faculty Fringe Benefits	14,863.00	120,446.00	135,309.00	94,196.10	9,625.01	31,487.89
5132	Moving Expenses - Taxable	0.00	0.00	0.00	370.00	0.00	(370.00)
5133	Moving Expenses - Non-Taxable	0.00	0.00	0.00	819.48	0.00	(819.48)

E-Prints

COAS: 0
DEPT:
ORG : 47934
FUND: 16790

REMRSEC
REMRSEC

Financial MGR: Taylor P. Craig
Financial MGR: Taylor P. Craig

TRANS DATE	TRAN TYPE	DOCUMENT NUMBER	DOCUMENT REF #	DESCRIPTION	ACCOUNT	BUDGET ACTIVITY	TRANSACTION ACTIVITY	ENCUMBRANCE ACTIVITY	AVAILABLE BUDGET BAL
------------	-----------	-----------------	----------------	-------------	---------	-----------------	----------------------	----------------------	----------------------

5118 Account Tot:						0.00	14,125.80	0.00	

6K Lev12 Total:				GRA Tuition Reimbursement		0.00	14,125.80	0.00	

06 Lev11 Total:				Labor		0.00	14,125.80	0.00	

						5418	Misc lab Supplies		
09/03	PCard Feed	PC000338	08232012	THE HOME D-M425Ratchet	5418		34.39		897,384.68
09/03	PCard Feed	PC000338	08242012	THE HOME D-HH302Masonr	5418		8.97		897,375.71
09/03	PCard Feed	PC000338	08242012	DUNIWAY ST-power out	5418		195.96		897,179.75
09/03	PCard Feed	PC000338	08242012	MCMMASTER-C-302 plastic	5418		213.60		896,966.15
09/06	PCard Feed	PC000339	08272012	COORSTEK I-IRGIi consu	5418		266.18		896,699.97
09/07	PCard Feed	PC000340	08282012	MEYER HARD-m425OilFilt	5418		4.49		896,695.48
09/10	Invoice	I0200359		Johnson, Barbara Pratt	5418		6.44		896,689.04

5418 Account Tot:						0.00	730.03	0.00	

						5420	Chemicals		
09/03	ES Feed -	ES000085	RQ015457	CHEMICALS THRU CSDF	5420		36.85		896,652.19
09/03	ES Feed -	ES000085	RQ015463	CHEMICALS THRU CSDF	5420		260.52		896,391.67
09/03	ES Feed -	ES000085	RQ015491	CHEMICALS THRU CSDF	5420		31.63		896,360.04
09/03	ES Feed -	ES000085	RQ015494	CHEMICALS THRU CSDF	5420		49.39		896,310.65
09/03	ES Feed -	ES000085	RQ015505	CHEMICALS THRU CSDF	5420		66.48		896,244.17
09/03	ES Feed -	ES000085	RQ015513	CHEMICALS THRU CSDF	5420		46.65		896,197.52
09/03	ES Feed -	ES000085	RQ015532	CHEMICALS THRU CSDF	5420		556.46		895,641.06
09/03	ES Feed -	ES000085	RQ015562	CHEMICALS THRU CSDF	5420		1,865.45		893,775.61

5420 Account Tot:						0.00	2,913.43	0.00	

						5427	Cylinder Gases		
09/12	Invoice	I0200541		General Air Service An	5427		91.76		893,683.85

- 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.

Internet Native Banner (INB)

- 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.

Oracle Fusion Middleware Forms Services: Open > FRIGITD

File Edit Options Block Item Record Query Tools Help

Grant Inception to Date: FRIGITD 8.5 (PROD)

Chart of Accounts: C Grant: 400415 Time-Lapse Joint Inversion of GEOph Grant Year:

Index: Fund: Organization: Fund Summary

Program: Activity: Location: Hierarchy

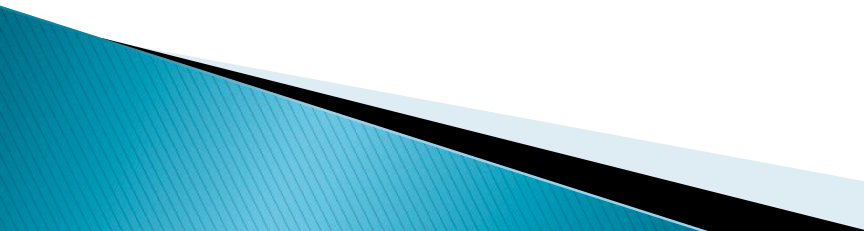
Account Type: Account: Account Summary: All Levels By Sponsor Account

Date From (MM/YY): 09 / 11 Date To (MM/YY): 09 / 12 Include Revenue Accounts

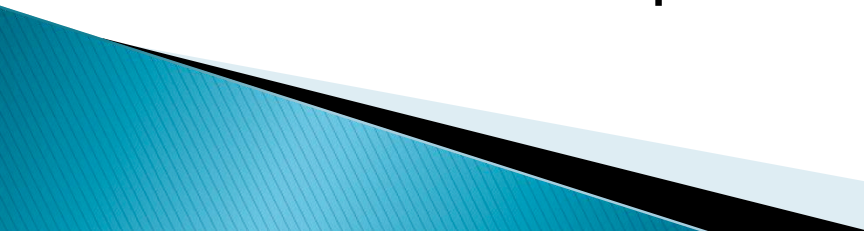
Account	Type	Adjusted Budget	Activity	Commitments	Available Balance
5116	L Grad Research Assistant Tuition	35,280.00	27,824.10	0.00	7,455.90
5130	L Faculty Fringe Benefits	6,778.00	2,612.94	0.00	4,165.06
5210	L Academic Faculty	22,444.00	8,483.56	0.00	13,960.44
5214	L Grad RA Salary	48,800.00	25,569.19	10,984.33	12,246.48
5218	L Hourly Student Help	5,280.00	0.00	0.00	5,280.00
5406	E Repair/Maint - Equip	2,500.00	0.00	0.00	2,500.00
5416P	E Supplies and Materials Budget Pool	5,500.00	0.00	0.00	5,500.00
5457	E Comp Software <\$5000	0.00	1,000.00	0.00	-1,000.00
5501P	E Travel Budget Pool	12,500.00	0.00	0.00	12,500.00
5502	E In-State Travel	0.00	107.00	0.00	-107.00
5533	E Dues/Memberships	0.00	90.00	0.00	-90.00
5905P	E Capital Outlay Budget Pool	69,793.00	0.00	0.00	69,793.00
5910	E Computer Systems > \$5000	0.00	3,104.87	0.00	-3,104.87
5985	E Indirect Cost	46,711.00	16,332.07	0.00	30,378.93
Net Total:		255,686.00	85,123.73	10,984.33	159,477.94

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
- 

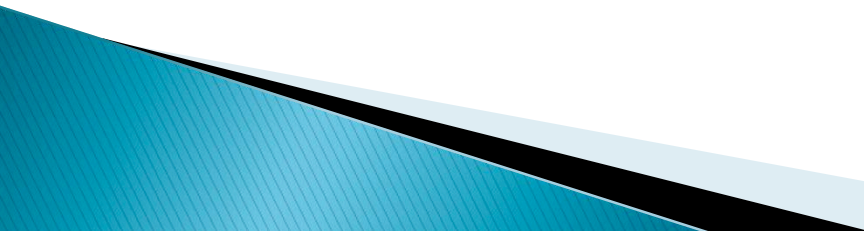
Time & Effort Certifications

(hardcopy example in notebook)

- ▶ 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

- ▶ 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)

Example of a closeout email

(An attached financial e-print statement accompanies email)

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:

http://inside.mines.edu/UserFiles/File/finance/researchAdmin/Closeout_Memo.pdf

Closeout Memo's

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.1. Was equipment purchased on the contract. If yes and the sponsor retains title to the equipment, please check the following that are applicable:
The condition of the equipment is:
a. Functional & being utilized
b. Functional & not being utilized
c. Non-functional

YES NO N/A

D.2. Some or all of the equipment was returned to the sponsor on the following date: _____. If yes, please identify the pieces returned (if more space is required, please use the back of this form).
COMMENTS: _____

D.3. The equipment is being used on another Federal project. If yes, please identify the CSM Grant-FRS # : _____ Banner #: _____

D.4. I wish to request the title to the equipment be transferred to CSM.
COMMENTS: _____

SECTION 2: FINANCIAL STATUS

The PI 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 Short 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: _____

Thank You

