

BEST PRACTICES, Division of Research

Title: Certification of Effort for Grants and Contracts

11

Source: University of Tennessee

Co Area: Grants & Contracts

Addl Info: http://www.sacubo.org/sacubo_resources/best_practices/2004.html

Abstract: The University of Tennessee has more than 25,000 active employees across the state spanning more than 400 miles from Knoxville to Memphis and Chattanooga to Martin. As Tennessee's land grant institution, the University pursues a mission of education, research, and public service. In 2002, the University was awarded more than \$245 million for research and other sponsored programs.

As a condition to receiving federal funding, research institutions must maintain an accurate system for reporting the percentage of time (i.e., effort) that employees devote to federally sponsored projects. The University bases its certification of effort on the standards set forth in OMB Circular A-21, "Cost Principles for Educational Institutions - Compensation for Personal Services." This circular can be found at: <http://www.whitehouse.gov/omb/circulars/a021/a021.html>

All salary costs incurred by employees working on grants and contracts must be accounted for and approved. Given both the volume of effort involved and logistical challenges inherent in the movement of paper forms through the organization, the university decided to develop an online system for the certification of effort. The online Effort Certification system allows for real-time editing and more accurate information, electronic routing and approval, online real-time reporting, and an improved compliance rate.

Because the transactions are pre-populated with existing payroll data and subject to stringent edit checks, the quality of information is greatly improved. The system determines the approval path based on attributes of the transaction (such as cost objects charged, policy requirements, etc.). The system has also reduced to a great extent the use of paper documents, and the records are now stored electronically. Furthermore, the processing time for the certification of effort has been significantly reduced, and the compliance rate has improved dramatically. Due to the improved efficiency of the process, certification can now be done monthly rather than once a semester, keeping the financial records much more current. And finally, the ability to report on the status of the certifications is greatly improved. Reporting is now immediately available to a wide audience with up-to-the-minute results.

BEST PRACTICES, Division of Research

Title: SAIS: Technology Solutions = Dollars and Sense

25

Source: Florida State University

Co Area: Grants & Contracts

Addl Info: http://www.sacubo.org/sacubo_resources/best_practices/2004.html

Abstract: The Florida State University Offices of Operations Analysis and Sponsored Research Accounting Services collaborated in the development and implementation of an automated invoicing system to produce invoices for state contract and grant awards. The goal was to replace a manual, labor-intensive invoicing process with an automated, resource-efficient system.

The Sponsored Research Accounting Services Automated Invoicing System (SAIS) was developed in Microsoft Access. It was implemented in April 2003 and is designed to:

- * provide an active awards database of state contracts and grants
- * produce cost reimbursement, fixed price deliverable, and fixed price percentage invoices for monthly and quarterly billings
- * reduce redundancy and manual input
- * use downloads of financial and directory data (names, addresses, etc.) from outside systems wherever feasible
- * reduce resources required to produce and review invoices
- * ensure completeness, consistency, accuracy and timeliness
- * strengthen internal controls, productivity, earnings and efficiencies
- * provide management tools to plan, monitor and measure work, and have real-time information for decision making.

SAIS is currently up, running and managed by the Office of Sponsored Research. As of September 30, the SAIS database is comprised of over 474 state grants and contracts representing over \$106 million in awards.

The turnaround time for monthly invoicing has been reduced from up to three weeks to one or two days. For example, in August 2003, the SAIS invoice schedule identified 231 accounts that needed to be invoiced. Three staff processed 133 invoices in less than 12 working hours, i.e., the first day and a half of the monthly invoicing cycle. At the same time staff sent 41 account-specific emails to departments to obtain project status on fixed price awards; reviewed 22 accounts and determined that no invoice was appropriate (e.g., no current month expenditures); and reviewed another 13 accounts and determined that additional documentation was needed before an invoice could be processed. In summary, three staff invoiced, emailed for status, or reviewed for action over 90% of the accounts in a day and a half. Similar results were achieved for the last quarterly invoicing cycle (June 30, 2003) for which 320 accounts were identified for invoicing.

The Office of Operations Analysis estimates that the new system will result in annual savings in excess of \$124,000, and will allow management to reallocate human and dollar resources to other priorities.

BEST PRACTICES, Division of Research

Title: IRBWISETM: Web-Based Software for the Institutional Review Board # 107

Source: Georgia Institute of Technology **Co Area:** Office of Sponsored Research

Addl Info: http://www.sacubo.org/sacubo_resources/best_practices/2004.html

Abstract: IRBWISETM is an online, web-based tool for use by human subjects researchers and Institutional Review Boards. Organizations that conduct human subjects research are required by federal law to have their research reviewed and approved by a board of experts in protecting human subjects, known as an Institutional Review Board. Georgia Tech Research Institute, the applied research arm of Georgia Institute of Technology, has developed IRBWISETM for use at Georgia Tech to help make this process more efficient and more effective.

IRBWISETM is Georgia Tech's solution to these issues. The goals of the software are to enable research to be easily submitted by the researcher to the IRB, to aid the IRB in reviewing the research in a timely and thorough manner, and to accurately record the auditable details of IRB activities. While IRBWISETM was originally developed for Georgia Tech, it grew into a solution that is now commercially available to other institutions that do human subjects research.

Title: Grants Billing System # 200

Source: University of Maryland **Co Area:** Grants & Contracts

Addl Info: http://www.sacubo.org/sacubo_resources/best_practices/2002.html

Abstract: The Office of the UM Comptroller has developed a new system, the Billing & Accounts Receivable System (BARS), to transform a substantially manual process into a substantially electronic process. Information on new awards is now transmitted electronically from the pre-award office and uploaded to create new accounts in the financial accounting system. By means of a BARS interface with the accounting system, invoices, including envelopes addressed for mailing, are produced electronically along with required financial reports in standard federal format. The Letter of Credit (LOC) module allows for automated calculation of draws and preparation of federal LOC quarterly reports. In addition, BARS generates electronic journal vouchers for posting receivable and cash receipt transactions into the accounting system; permits staff to record notes regarding correspondence with sponsors, and archives copies of the invoices and financial reports electronically. Lastly, BARS produces a plethora of statistical reports and analyses to facilitate management of the billing and collection processes.

Title: Federally Funded Grants and Contracts # 263

Source: University of California San Francisco **Co Area:** Grants & Contracts

Addl Info: <http://www.ucsf.edu/ams/best/fedfund.html>

Abstract: Useful website summarizing OMB A-21 and tracking and accounting for budget and expenditures on Federal Grants. Appropriate links are at bottom of page. Publicizing useful information is always a Best Practice.

BEST PRACTICES, Division of Research

Title: Best Practice Processes for University Research Commercialization # 268

Source: Australian Government, Dept of Ed, Sci & Training **Co Area:** Technology Transfer

Addl Info: http://www.dest.gov.au/sectors/research_sector/policies_issues_reviews/reviews/previous_reviews/university_research_commercialisation/

Abstract: The Challenge -
In the context of the global knowledge economy, the traditional role of the university as a generator, repository and disseminator of knowledge and learning is being reworked, at least in terms of new mechanisms to pursue the age-old objectives. There is a growing view that universities have a larger responsibility, and a special capability, to assist in transforming their knowledge into potential fruits - economic and employment growth.

Commercialization of research, whether in the form of the establishment of new companies to capture maximum benefits, licensing to existing companies offers considerable promise. But it should be recognized that this is but a small component of the ways in which universities can contribute to economic and social advance. Enhanced learning for a larger and wider proportion of the community, not just in formal education but for life, the sheer pursuit of learning, and the continuing contribution to comprehension of challenges and the facilitation of informed debate, deliver much greater returns.

However, with regard to research commercialization, current metrics suggest Australian universities are well behind emerging performance targets, whether measured in terms of patenting, start-up formation, or revenue from commercialization. At the same time, these indicators are highly lagged. Other evidence clearly shows that there has been a substantial enhancement in commercialization performance in many Australian universities in the past five years.

The website is just the Executive Summary, but there is a link to the full report.

BEST PRACTICES, Division of Research

Title: Business Development/Business Incubator

295

Source: City of Chattanooga, TN

Co Area: Technology Business Incubator

Addl Info: http://www.bmpcoe.org/bestpractices/internal/chatt/chatt_8.html

Abstract: When 3M moved out of Chattanooga in the early 1980s, the company left a 125,000 square foot building in deteriorating north Chattanooga. The local economic development agency restored the building in 1988 and developed it into a small business incubator to provide space and support services for new businesses. The funding for the facility is provided by the Economic Development Administration and City/county matching funds.

The facility now contains 50 offices and 30 manufacturing spaces, with office spaces between 130 and 1,300 square feet and manufacturing spaces between 400 and 8,000 square feet. Spaces are rented at the low end of market value, and the rental rate increases by \$0.50 per square foot per year during the three-year incubation period. Companies qualify as tenants if they are in their first year of existence demonstrating good business planning sense, demonstrating the ability to outgrow and move from the center after three years, and are designated a for-profit company.

Support services provided to the tenants at no charge include janitorial services, business planning assistance, loan packaging assistance, use of conference rooms and overhead projectors, on-site postal boxes, notary public, security, parking, volunteer counseling, and pick-up of mixed paper for recycling. The companies are charged for utilities, garbage disposal, business property tax, clerical support, copier charges, faxing capabilities, and on-site bookkeeping services. A library, video center, and computer center are also available for use at no charge. In addition, over 100 professional volunteers provide assistance to the companies as needed.

There are 65 companies currently located in the facility, 55 of which are service related, and 10 manufacturing related. Total employment for all companies currently in the facility is 424, and 223 companies have graduated out of the incubator with 1,520 employees. The cumulative sales of these start-up companies has amounted to \$200M. Of the 344 companies that started business in the incubator facility, 288 are still in business a success rate of 84%.

BEST PRACTICES, Division of Research

Title: Maryland Industrial Partnerships (MIPS) program - Best Practice in technology transfer programs. # 335

Source: University System of Maryland **Co Area:** Technology Transfer

Add Info: <http://www.mips.umd.edu/>

Abstract: The Maryland Industrial Partnerships (MIPS) program accelerates the commercialization of technology in Maryland by providing matching funds for collaborative R&D projects between companies and University System of Maryland faculty.

Through MIPS, faculty can gain:

- * A fast reply -- MIPS lets applicants know within 60 days whether or not they've received a contract award, enabling them to plan their busy research schedules
- * Results -- MIPS projects have contributed to many successful commercial products, as well as graduate theses and hundreds of published papers

Title: The Michigan Economic Development Corporation's "SmartZone" # 336

Source: Michigan Universities **Co Area:** Technology Business Incubato

Add Info: <http://ref.themedc.org/cm/attach/DA889C19-C8A6-434A-9FE4-F5440B4B7DF7/MISmartZonefactsheet.pdf>

Abstract: Michigan SmartZones are collaborations between universities, industry, research organizations, government, and other community institutions intended to stimulate the growth of technology-based businesses and jobs by aiding in the creation of recognized clusters of new and emerging businesses, those primarily focused on commercializing ideas, patents, and other opportunities surrounding corporate, university or private research institute R&D efforts.

SmartZones provide distinct geographical locations where technology-based firms, entrepreneurs and researchers can locate in close proximity to all of the community assets that will assist in their endeavors. The locations of the Michigan SmartZones represent areas that comprise a critical mass of technology development assets.

Title: A Guide to Best Practices in Human Subjects Research # 339

Source: Bucknell University **Co Area:** Office of Sponsored Research

Add Info: <http://www.bucknell.edu/x5196.xml>

Abstract: This document is intended to provide guidance for students and faculty who conduct classroom exercises that involve human subjects. Such exercises are presumed to involve only minimal risk to the subjects, that is, risk that is no greater than subjects would encounter in their everyday lives. If you anticipate that a planned classroom exercise will involve more significant risks, or if there are unique or idiosyncratic elements to your project that do not conform to the descriptions in this document, you should consult first with your departmental representative to the Institutional Review Board (IRB). If your department does not have a standing representative, you may consult with the IRB representative in a closely related department, or contact the Chair of the IRB at 577-3623 (rackoff@bucknell.edu).

BEST PRACTICES, Division of Research

Title: Cost Share Best Practices # 401

Source: University of California Davis **Co Area:** Grants & Contracts

Addl Info: <http://accounting.ucdavis.edu/Costshare/bestpractices.cfm>

Abstract: There are several things you can do to ensure that your cost share tracking is effective, efficient, and accurate. The site covers the following topics:

Review, utilize, and communicate information from multiple sources.
Think carefully about the information being entered in the Effort Commitment & Cost Share Tracking system.
Review the information in the Effort Commitment & Cost Share Tracking system on a regular basis.
Avoid the use of Cost Transfer documents.

They also have a Cost Sharing Help site at <http://accounting.ucdavis.edu/Costshare/index.cfm>

Also see University of Michigan's policy - http://www.finops.umich.edu/FormsReports/Forms/cost_share_best_practices.doc

Title: Best Practices Presentations # 431

Source: University of Rochester **Co Area:** Grants & Contracts

Addl Info: <http://www.rochester.edu/adminfinance/audit/practices.html>

Abstract: This site links to several presentations covering the following:

- Principal Investigator Ledger Approval Sample Form
- Cost Sharing / Conflicts of Interest
- Principal Investigator's Fiscal Responsibilities
- Internal Control Objectives for Sponsored Programs Audits
- Inventory Management Best Practices
- Travel and Conference Best Practices
- Records Retention Best Practices
- Salim Alani's Fall 2000 Finance Conference Presentation
- Controls To Minimize Fraud in a Cash Receipts Environment
- Internal Controls -- What are they and why should I care?

BEST PRACTICES, Division of Research

Title: Best Practices for Obtaining Grants # 455

Source: Berkshire Community College **Co Area:** Office of Sponsored Research

Addl Info: http://www.iberkshires.com/story.php?story_id=5465

Abstract: Why are some companies and organizations more successful than others in obtaining training and other types of grants? Some of the best practices for successful grant applications were outlined in a recent workshop sponsored by the Berkshire County Regional Employment Board. They include:

Is this a good fit? Take a close look at the grant's mission statement and goals to see if your own employer's mission matches well.

Title: A Grant Writing Guide for Non-Grant Writers # 456

Source: Mount Wachusett Community College **Co Area:** Office of Sponsored Research

Addl Info: <http://www.mwcc.mass.edu/offices/InstAdv/grantwriting.html>

Abstract: This page is the first step to assist you in developing your idea into a proposal for funding support. After reading this page, you will have a basic understanding of:

1. The Fundamentals Of Grant Seeking.
2. The Responsibilities Of The College And The Division Of Institutional Advancement In Grant Development.
3. The Grant Development Process Used By The Division Of Institutional Advancement.
4. Self-Determining The Suitability Of Your Project Using The Grant Decision Making Matrix.
5. Your Role In The Grant Development Process.

Also see THE GRANT DECISION MAKING MATRIX - <http://www.mwcc.mass.edu/PDFs/matrix.pdf>

http://www.pstcc.edu/departments/grant_development/index.php is a similar site - Pellissippi State Technical Community College

BEST PRACTICES, Division of Research

Title: Guidelines for Submitting Grants # 462
Source: Burlington County College **Co Area:** Office of Sponsored Research
Addl Info: <http://www.bcc.edu/pages/364.asp>
Abstract: The Grant Development Request Form is designed to assist faculty and staff who are interested in submitting grant project ideas for consideration, requesting searches for project funding source, or to assist project directors with technical support in implementing, reporting, and evaluating grant funded programs....

This appears to be a useful site and includes the above Guidelines and -
Project Idea Development Process
Proposal Development Timeline
Steps for Developing a Winning Proposal

Also has some online submittable forms.

Title: SUNY Best Practices Search Facility # 486
Source: State University of New York **Co Area:** Grants & Contracts
Addl Info: <http://www.suny.edu/BestPractices/Best.Practices.2004.01.27.pdf>
Abstract: As part of the Task Force on Efficiency and Effectiveness, campus presidents were asked to provide initiative they believe they carry out better than any other campus, along with those innovative ideas that have saved or avoided spending resources. The "Best Practices" reported in this document have resulted in significant savings throughout SUNY and, when shared with other campuses, have the potential to realize even greater savings within the system.

Page 49 of the above PDF Document -
In-house Training for Grant Management
Research Guide for New Faculty
Links to Funding Opportunities
Human Subjects Protection Software

BEST PRACTICES, Division of Research

Title: Ethics - Human Subjects - Best Practices

549

Source: University of Toronto

Co Area: Office of Sponsored Research

Addl Info: <http://www.research.utoronto.ca/ethics/>

Abstract: The Ethics Review Office (ERO) is responsible for providing the support and resources necessary to uphold the highest ethical and regulatory standards of research involving human or animal subjects, or using biohazardous materials at the University of Toronto. We are here to assist faculty members, staff and students through the ethical review process, from the preparation of a protocol submission to the final approval of the research and beyond. We also facilitate the review process conducted by our five Research Ethics Boards (REBs), six Local Animal Care Committees (LACCs), University Animal Care Committee (UACC), and help to develop and enforce policies and procedures at the university which are in compliance with national and international guidelines. Finally, we are here as a resource to all university researchers in understanding the why's and how's of research ethics and ethics review.

The site covers -
Human Subjects
Animal Subjects
Application Forms
Biohazardous Materials
Contacts

BEST PRACTICES, Division of Research

Title: Best Practice in Research

554

Source: Higher Education & Research Opportunities in the UK

Co Area: Grants & Contracts

Addl Info: http://www.hero.ac.uk/sites/hero/uk/research/good_practice_for_new_researchers/best_practice_in_research231.cfm

Abstract: HIGHER EDUCATION INSTITUTIONS and research centres should ensure that their staff and students have the skills and training they need to produce effective and rigorous research.

As well as clear guidelines and statements of best practice, they may offer training and seminars on research skills and methodologies. Many promote mentoring schemes, whereby new researchers are assigned a more experienced colleague to whom they can refer in case of difficulties.

The Biotechnology and Biological Sciences Research Council (BBSRC), the Engineering and Physical Sciences Research Council (EPSRC), and the Medical Research Council (MRC) have all produced statements on best practice, to help prevent allegations of fraud or scientific misconduct. In addition, the MRC has excellent guidelines for good clinical practice in clinical trials.

Organizations other than HE institutions and research centres often run courses or training events for researchers. For instance, the Institute of Physics (IOP) runs a number of courses on topics such as laser safety and project management. The EPSRC also supports a number of career development schools for post-doctoral contract researchers.

Wherever you carry out your research, the university or research institute is responsible for ensuring your own health and safety. Always feel free to ask for details of health and safety provision. If you feel you are being put at risk in any way, contact the government's Health and Safety Executive (HSE), who also publish a book of health and safety guidelines specifically for research activity in further and higher education.

Site includes many links

BEST PRACTICES, Division of Research

Title: Computerized research ethics compliance certificate management system # 565

Source: Université Laval **Co Area:** Office of Sponsored Research

Addl Info: http://www.caubo.ca/awards/awards_pg2000_e.cfm

Abstract: In recent years, all the major university research funding bodies such as SSHRC, NSERC, MRC (at the federal level), FCAR and FRSQ (in Quebec), have gradually transferred to universities the responsibility for issuing and managing compliance certificates for the protection of human subjects, the use of domestic and wild animals, the evaluation of biological and environmental risks and the use of radioactive materials and chemical products. As a result, universities must henceforth ensure that research protocols meet the ethical standards set by granting bodies, failing which funding for projects that do not meet such standards are not to be made available to researchers.

In order to satisfactorily meet this ethics mandate, Laval University relies first on five internal committees.

The idea of developing a computerized, interactive and innovative system to manage ethical research compliance permits and certificates flows from Laval University's desire to continue to meet its responsibility to society and carry out its mandate with respect to the granting bodies. It is doing this in spite of scarce resources and in spite of the impressive volume of some 2,500 research projects that are undertaken annually through the University, for a value in excess of \$125 million in 1998-99.

The above website outlines the program - however the University's website is in French.
2nd Prize Winner of 2000 Canadian Association of University Business Officers Quality & Productivity Awards.

Title: Research Ethics Policy, Principle and Procedures # 571

Source: University of East Anglia **Co Area:** Grants & Contracts

Addl Info: <http://www1.uea.ac.uk/> (Original URL No longer valid)

Abstract: The University is committed to advancing and safeguarding high quality academic and ethics standards in all its activities. The Policy should be read in conjunction with other complementary policies, including the University's 'Guidelines on Good Research Practice' and with the University's 'Procedures for dealing with allegations of misconduct in research', as well as specific ethics guidance issued by the University and Faculty Research Ethics Committee and any associated sub-committees.

When undertaking research, researchers are expected to consider and observe ethical principles and the University's mission and values. This policy sets out conditions for establishing the ethics review requirements of a research project.

BEST PRACTICES, Division of Research

Title: Research Ethics: A Handbook of Principles and Procedures # 576

Source: University of Gloucestershire **Co Area:** Grants & Contracts

Addl Info: <http://www.glos.ac.uk/currentstudents/research/ethics/intro.cfm>

Abstract: Introduction

1. Professional and academic communities are placing increasingly exacting responsibilities on their members to improve the ethical standards of research and practice within their disciplines, and journal editors may require evidence that research projects have secured formal ethical clearance before agreeing to publish their findings.

2. Research Ethics: a Handbook of Principles and Procedures has been produced in response to this growing awareness of ethically sensitive issues in research and scholarly activity. Under the aegis of Academic Board, its intention is to guide and, where necessary, regulate the scholarly activities of researchers at undergraduate, postgraduate and staff levels within the University and to promote a stronger appreciation of ethical considerations in research.

3. The Handbook comprises three parts.

Title: Overview of Research Ethics at Griffith University # 585

Source: Griffith University **Co Area:** Office of Sponsored Research

Addl Info: http://www.griffith.edu.au/or/ethics/humans/content_overview.html

Abstract: In accordance with the National Statement of Ethical Conduct in Research Involving Humans, the University has established the Griffith University Human Research Ethics Committee (HREC). This committee is responsible for considering applications for ethical clearance, monitoring the conduct of approved protocols, and advising the institution on the formulation of policies and guidelines for this area.

The previous 5 years have seen a rapid pace of change in the regulation of human research ethics in Australia. During the same period the volume and complexity of human research within the institution has increased. In light of concerns expressed by some researchers and a desire to ensure that the University's research ethics arrangements will keep pace with international best practice, the former Deputy Vice-Chancellor initiated a wide-ranging review of the University's arrangements.

The Review report made a number of significant recommendations that were accepted by the Academic Committee at its 11 September meeting, 2003.

Griffith University Research Ethics Manual -
http://www.griffith.edu.au/cgi-bin/frameit?http://www.griffith.edu.au/or/ethics/humans/content_overview.html

BEST PRACTICES, Division of Research

Title: Worst Practices - Best—and Worst—Practices in Research Administration # 642

Source: National Council of University Research Administrators

Co Area:

Addl Info: <http://www.ncura.edu/content/news/rmr/docs/v13n1.pdf>

Abstract: Page 11 (p13 of PDF file)

This article discusses some of the best—and worst—practices in research administration. This discussion is based on a review of the literature and our cumulative 70 years of experience in establishing, administering, training, evaluating, and mentoring research administration programs and professionals in public and private universities. In essence, four main factors differentiate the best from the worst: (1) Culture; (2) Change; (3) Competence; and (4) Communication.

Traditional emphasis on “best practices” has focused on the competence or skills necessary to be an effective research administrator. This article takes a broader perspective, placing competence in a larger framework of organizational behavior that includes the attributes of culture, change, and communication. Mishandled, any one of these factors can hamper an institution’s research and scholarship initiatives. Conversely, when handled skillfully, research administrators are extremely effective and experience high job satisfaction as judged by themselves and their professional colleagues.

Title: Defining and improving technology transfer business and management processes in university innovation centres # 742

Source: ScienceDirect

Co Area: Technology Transfer

Addl Info: <http://www.sciencedirect.com> Original URL no longer valid - go to www.sciencedirect.com and do a search on this

Abstract: The complex and dynamic behaviour associated with technology transfer business processes combined with the technological risk involved in the participating small firms, has led to a lack of business process definition and improvement in this area. Furthermore, the embryonic firms are highly individualistic with differing needs for assistance and development. There may also be a tendency to provide infrastructure and basic services with an avoidance of business process definition and hence, improvement.

The aim of this paper is to investigate how potential business and management inputs can be used to define and to suggest improvements for two key technology transfer business processes, namely the technology licensing process and the business building process. A stratified pathway process mapping approach is used. This research approach includes semi-structured interviews with University Innovation Centre small firms, focus groups with Innovation Centre stakeholders and best practice benchmarking.

Title: Best Practices Checklist for Grants Management # 744

Source: University of California San Francisco

Co Area: Grants & Contracts

Addl Info: <http://acctg.ucsf.edu/OLFS/archives/061298b.htm>

Abstract: The suggestions in the website are tailored to UCSF but could be useful to FAU and it is a good example of procedure documentation.

BEST PRACTICES, Division of Research

Title: Best Practices for Ensuring Quality Care of Research Animals # 746

Source: University of California San Francisco **Co Area:** Office of Sponsored Research

Addl Info: http://www.iacuc.ucsf.edu/Policies/lf_iacuc_bestpractice_trifold.pdf

Abstract: Conducting high-quality research is essential to UCSF's mission of advancing human health. Animal research in particular is highly regulated, and UCSF is committed to full compliance with all regulatory agencies and oversight groups. Beyond what laws and regulations dictate, we recognize that laboratory animals are living creatures that deserve to be treated with care and compassion.

In fact, UCSF is dedicated to becoming the national model for animal research and care. To that end, this brochure outlines the best practices possible for ensuring the well-being of our animals and to maximizing their comfort and welfare.

Title: Best Practices Templates # 767

Source: Oregon Health & Science University **Co Area:** Grants & Contracts

Addl Info: <http://www.ohsu.edu/cc/audit/bestpractices.html>

Abstract: Site has Research related templates

Portfolio of Sponsored Projects
Life of Grant Spreadsheet
Sponsored Projects Cash Monitoring

Title: Homer's Physics Seminar Series # 841

Source: McGill University **Co Area:** Academic

Addl Info: http://www.caubo.ca/awards/documents/QP_Rich_UM_Summer_07_E.pdf

Abstract: Page 3 - Homer's Physics is a seminar series geared for non-researchers within McGill's Physics Department. This 'in-reach' program is designed to inform the department's technical, clerical and managerial staff what the researchers are working on and how their support has benefited this research. On a monthly basis, researchers present their work in language that 'Homer Simpson' would understand – hence the name.

The issue of integrating new professors within the department led to the inception of the series. Newer staff is often unaware of the resources available when arriving in an institution. An informal method to introduce them to the support staff was to hold research seminars in which researchers present their work and support staff become aware of the research being done, which enables them to offer better assistance. This original team-building exercise also allowed for significant productivity benefits. Being informed on the department's activities, better purchasing decisions are made, thus benefiting from economies of scale.

Canadian Association of University Business Officers 2007 Quality & Productivity Awards 1st Prize

BEST PRACTICES, Division of Research

Title: Intellectual Property # 844

Source: University of Newcastle **Co Area:** Technology Transfer

Addl Info: <http://www.newcastle.edu.au/policylibrary/000831.html>

Abstract: The University is committed to fostering a culture which advances scholarship, promotes innovation and supports the dissemination of knowledge for public benefit. It recognizes that intellectual property created as a result of these activities is a significant and valuable asset which must be responsibly managed to support the mission of the University, acknowledge the rights of contributors, and optimizes benefits for our communities.

This policy provides clear guidance on the University's position in relation to the ownership and management of intellectual property including its creation, use, sharing, protection and commercialization within the organization's risk management framework. It supports the National Principles of Intellectual Property Management for Publicly Funded Research identified by the Australian Research Council.

The above is the IP Policy - this is the IP Procedure - <http://www.newcastle.edu.au/policylibrary/000832.html>

Title: Developing a Grant Budget # 853

Source: University of Wisconsin Colleges **Co Area:** Office of Sponsored Research

Addl Info: <http://www.uwc.edu/administration/academic-affairs/grants/writing/budget/>

Abstract: Budget preparation varies greatly from project to project. All Request for Proposals (RFP) require some type of budget presentation. Budget items should match up exactly with the project activities, goals, and objectives being proposed. Eliminate budget amounts that cannot be justified by your proposed activities. Realistic figures go a long way toward convincing readers and project officers that your organization is reliable and can do the job. For example, an on-campus project that requires minimal travel should not include a \$1,000 travel line item.

Title: Auditor's Role in Research Compliance # 859

Source: University of Florida **Co Area:** Inspector General

Addl Info: http://apps.research.ufl.edu/research/training/ppt/SPT005.0_RATS-RACOC.ppt

Abstract: Auditor: a friend or a foe? Find out what your university auditors consider to be high-risk issues in sponsored research administration and accounting. There will be a discussion of audits performed, summary of common issues and findings and proactive best practices in higher education.

Auditor's role and how you can be prepared?

Joining forces for educational, and compliance oversight activities involving research administration?

BEST PRACTICES, Division of Research

Title: Automated Workflow for Employee Fund Changes # 890

Source: Medical University of South Carolina **Co Area:** Grants & Contracts

Addl Info: http://www.sacubo.org/sacubo_resources/best_practices/2008.html

Abstract: What is the best way to automate the large number of paper personnel transactions that flow through Human Resources, Payroll, and Grants and Contracts Accounting on a daily basis? Further complicating the situation was the fact that almost 85% of MUSC's academic administrators were already utilizing a financial shadow system to create and account for these type transactions. For as many as 15 years, MUSC has been exploring alternative ways to automate the Position/Employee Action Request (PEAR) form.

MUSC's answer to this problem was to purchase and implement a workflow tool to integrate information from the shadow system into the financial system of record. The first process chosen to automate was changes to payroll (labor) distribution, called "Fund Changes" at MUSC, and the project was dubbed the "TeamWorks for Fund Changes Project."

When possible, TeamWorks writes data directly into the HR/Payroll system of record, eliminating the risk of data entry errors by Payroll staff. When human intervention is necessary, TeamWorks streamlines the process by delivering tasks to a user's inbox and delivering status updates to the UMS user along the way so the business manager always knows where the request stands.

Title: Audits find no more fraud at U of L # 929

Source: University of Louisville **Co Area:** Grants & Contracts

Addl Info: <http://www.courier-journal.com/article/20081114/NEWS01/811140437>

Abstract: U of L officials called for the audits in July after allegations surfaced that former education dean Robert Felner had mishandled grant and contract money. They also offered a number of suggestions for U of L to improve its grant practices, including providing better oversight training to department chairs and deans. They also recommended that when a dean is the principal investigator on a grant, someone else be assigned to provide oversight.

The auditors also suggested:

1. Periodic reviews of grants by the university's internal auditor.
2. Improving the monitoring of conflict-of-interest statements to ensure they are filed and that sanctions are enforced against those who do not file them. They also recommended periodic audits to ensure the filings' accuracy and said the university should consider requiring all faculty to file the forms, even those not involved in research.
3. Increasing training for business managers in the university's schools and colleges, and possibly implementing a grants-management position separate from the unit business managers.
4. Improving controls over grant-related expenses paid for with departmental debit cards.
5. Standardizing and streamlining grant reporting systems across the university.

BEST PRACTICES, Division of Research

Title: FAQs and Best Practices for Research and Sponsored Projects Administration # 938
Source: Arizona State University **Co Area:**
Addl Info: <http://researchadmin.asu.edu/faqs>
Abstract: Very informative site covering -
General Questions
Business Development
Proposal Preparation & Processing
Award Negotiation & Acceptance
General Financial Accountability
Effort Reporting
Facilities and Administrative (F&A) Costs
Program Income
Conflict of Interest

Title: Research Best Practices Toolkit # 939
Source: Northwestern University **Co Area:** Environmental Health & Safety
Addl Info: <http://www.research.northwestern.edu/ori/best-practices/>
Abstract: ORI is dedicated to providing the research community with tools to ensure consistent and reliable internal mechanisms for supporting University-wide research activity. The tools on this page are intended to assist Northwestern's research community with conducting, administering and facilitating research in compliance with federal and University policies and procedures.

The toolkit contains some of Northwestern's best examples for recommended tools currently available. If you've developed a useful tool or procedure not listed here that would be helpful to others in Northwestern's research community, please tell us about it! This page represents a compilation of common best practices and tools to assist you with research at Northwestern University. We'll update and revise this page frequently to ensure it contains the best tools and resources we can provide.

Covers Operating Environment | Fiscal Administration | Responsible Conduct of Research | Research Safety

BEST PRACTICES, Division of Research

Title: Survey of Venture Capitalists Uncovers Five Key Factors Associated with Successful Technology Transfer # 954

Source: University of Southern California **Co Area:** Technology Transfer

Addl Info: <http://news.prnewswire.com/DisplayReleaseContent.aspx?ACCT=104&STORY=/www/story/02-03-2009/0004965202&EDATE=>

Abstract: The USC Stevens Institute for Innovation at the University of Southern California today released a white paper detailing the findings of a comprehensive national survey exploring the issues affecting university-venture capital (VC) relations in an effort to better understand -- and ultimately improve -- the spinout process for all of the stakeholders involved.

The suggestions in the white paper titled, "Venture Capital -- University Interface: Best Practices to Make Maximum Impact," come from insights shared by venture capitalists and cover five key areas: understanding investor motivations, supporting entrepreneurs, streamlining bureaucracy, improving access and visibility, and fostering a culture of innovation on campus.

"As hotbeds for technological innovation, university research labs create groundbreaking innovations that have been at the heart of many successful start-ups. Unfortunately, university technology transfer professionals and venture capitalists have often struggled with cultural disconnects, hampering efforts to make maximum impact for university research," said Krisztina "Z" Holly, USC Vice Provost for Innovation and Executive Director of the USC Stevens Institute for Innovation. "A key piece in developing a healthy technology ecosystem, in any area, is to improve the efficiency of converting university research into viable, growing startups. We hope that by empowering university tech transfer professionals with the key findings from our study, we will help build and strengthen our economy nationwide."

BEST PRACTICES, Division of Research

Title: Research Park as Economic Engine: A Case in Best Practices # 989

Source: Wordpress.com - Michael Cecire **Co Area:** Research Park

Addl Info: <http://michaelcecire.wordpress.com/2009/04/29/research-park-as-economic-engine/>

Abstract: Designing a great, economically productive research park is an exercise closely intertwined with behavioral economics, believe it or not. By the end of this, you will understand why.

Let me identify 4 research parks that are considered to be 3rd Generation, as defined by the Association of University Research Parks (<http://www.aurp.org>):

- * The University of Virginia Research Park*
<http://www.uvafoundation.com/researchparks/northfork.html>
- * Sandia Science & Technology Park
<http://www.sstp.org/>
- * University of California, San Diego Science Park*
<http://physicalplanning.ucsd.edu/PPW-PlansStudiesProjects/N-Studies/srp.html>
- * Clemson University – iCar
<http://www.clemson.edu/centers-institutes/cu-icar/>

Find out what these parks have in common.

Title: IP Handbook of Best Practices # 990

Source: Rockefeller Foundation **Co Area:** Technology Transfer

Addl Info: <http://www.iphandbook.org/>

Abstract: Prepared by and for policy-makers, leaders of public and private sector research, tech transfer professionals, licensing executives, and scientists, this online resource offers up-to-date information and strategies for utilizing the power of both intellectual property and the public domain. Emphasis is placed on advancing innovation in health and agriculture, though many of the principles outlined here are broadly applicable across many fields.

Site guides available for policymakers, senior administrators, technology transfer managers, or research scientists.