



# Appendix 1

# The Office of Research & Creative Activities

**Purpose.** The office exists to support students, staff, faculty, and the BYU administration in their efforts to encourage and support research, creative activities, and other expressions of academic scholarship.

**Functional Organization.** The office is organized to provide service to organized research and creative activities and to provide supportive leadership to such policy matters as appropriate. The office is under the direction of the Associate Academic Vice President for Research and Graduate Studies. The staff consists of a Directory, an Associate Director, a Research Administrator, and office staff.

The office has a close relationship with the Technology Transfer Office and the Creative Works Office for coordination of certain pre-award contacts, with the Accounting Office for post-award grant and contract accounting, and with the Faculty Personnel Office for payment of research compensation.

## Personnel.

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Title	Personnel
Director:	Gary R. Reynolds
Associate Director:	Melvin J. Carr
Research Administrator:	Nancy A. Davis
Research Administrator:	Sandee Munoz
Office Manager/Secretary:	Susan Escalante
Part-time Secretaries:	Kari Tandberg, Leilani Fisher, Audra Nichols, Dave Johnson

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## Office Functions.

- 1) Policy Review and Development
  - ◆ Monitor research accounts in conjunction with Financial Services to assure compliance with contract requirements, government regulations, and BYU policy.
  - ◆ Review and update BYU policies relative to research.
- 2) Opportunity and Expertise Matching
  - ◆ Represent the university's research program to other research organizations, funding agencies, and other universities.
  - ◆ Match-making (requests for proposals and faculty).
  - ◆ Monitor requests for proposals and deadlines.

- ◆ Disseminate information on funding opportunities to faculty.
  - ◆ Maintain up-to-date reference files of funding sources, agency directories, and BYU faculty research.
  - ◆ Distribute a monthly newsletter containing funding opportunities and other information to faculty members on campus.
- 3) Proposal Preparation and Submission
- ◆ Coordinate the preparation of large, inter-collegiate, and inter-institutional research proposals.
  - ◆ Assist with proposal budgets and processing for signatures.
  - ◆ Assist in developing process/software for budgets and forms.
  - ◆ Copy, mail, log, and file proposals.
- 4) Negotiating and Interacting with Sponsors
- ◆ Negotiate and manage grants and contracts.
  - ◆ Interface with sponsoring agencies to maintain awareness of research funding trends.
  - ◆ Represent the university's research programs to other research organizations, funding agencies, and other universities.
- 5) Compliance with Federal and Other Requirements
- ◆ Monitor government regulations pertaining to federal grants and contracts.
  - ◆ Work with the Inventory Office to manage government property to assure compliance with federal regulations.
  - ◆ Assure compliance with reporting requirements and manage closeout documentation.
  - ◆ Oversee three compliance committees and assist them through secretarial support for meetings, correspondence, and proposal approval.
- 6) Negotiating and Interfacing with Subcontractors and Independent Contractors/Consultants
- ◆ Negotiate terms of agreement or subcontract.
  - ◆ Monitor agency regulations and BYU policy and procedures for stipulations concerning subcontracts and/or independent consultants/contractors.
  - ◆ Prepare contracts, amendments, payment documents, and initiate processing through the university.
  - ◆ Administer contractual terms between prime contractor (BYU) and subcontractors and or/consultants.
  - ◆ Approve payment of invoices from subcontractors and consultants.
  - ◆ Educate principal investigators.
- 7) Project and Account Management (Post-Award)
- ◆ Control assignment of account numbers and coordinate activation with Financial Services.
  - ◆ Certify expenditure documents on research accounts.
  - ◆ Monitor research accounts in conjunction with Financial Services to assure compliance with contract requirements, government regulations, and BYU policy.
  - ◆ Manage government property to assure compliance with federal regulations.
  - ◆ Assist Financial Services with audits of project accounts.
  - ◆ Assure compliance with reporting requirements and manage closeout documents.
  - ◆ Act as a liaison between researchers, other university offices, and sponsors to facilitate and administrate management of projects.
  - ◆ Administer the activities of the office dealing with the management of research contracts.
  - ◆ Prepare paperwork and correspond with faculty to request payment of salaries and supplemental research compensation of research accounts.
- 8) Financial Management
- ◆ Establish research accounts.

- ◆ Document cost sharing.
  - ◆ Process cost transfers.
  - ◆ Document and report time and effort.
  - ◆ Compile and publish monthly and yearly financial reports.
  - ◆ Invoice and manage funds from sponsors.
  - ◆ Monitor university compliance with appropriate federal and state regulations.
  - ◆ Assist with completion of annual audits.
  - ◆ Compile, maintain, and distribute reports on waived indirect costs.
- 9) Student Mentoring Program
- ◆ Host Annual Sponsored Research Achievement Luncheon and present Sponsored Research Achievement Award.
  - ◆ Conduct Undergraduate Research and Creative Activities Scholarship competition.
  - ◆ Conduct Environments for Mentoring Grants competition.
  - ◆ Build library database of mentored environments from across campus.
  - ◆ Represent the university in national, regional, and state research organizations.
  - ◆ Administer recognition awards.
  - ◆ Assist in coordinating graduate fellowships.
- 10) Policy Review and Development
- ◆ Develop policies and procedures to foster research.
  - ◆ Publish policy brochures for dissemination to campus community.
  - ◆ Update BYU policies relevant to research and creative activities in the electronic handbook.
- 11) University Negotiations/Trouble Shooting
- ◆ Participate in DHHS indirect costs justification.
  - ◆ Review/respond to internal and external audits.
  - ◆ Direct negotiations with sponsors/federal agencies on problems such as termination or nonpayment of invoices.
- 12) Management of Undergraduate Research and Creative Activities Program
- ◆ Work with the honors program and existing college and departmental programs to assure students of opportunities to participate and receive recognition for their efforts.
  - ◆ Approve proposals, award fellowships, and administer scholarships.
  - ◆ Approve research employment and indirect cost recognition.
  - ◆ Attend the National Undergraduate Research Administration meetings.
  - ◆ Identify and assist existing efforts through financial incentives, recognition, and formal participation in a university-wide program.
- 13) Office Management
- ◆ Assist in budget management and accounting of office accounts.
  - ◆ Put together an annual report of university research activities.
  - ◆ Monitor and compile Full-time Equivalency reports.
  - ◆ Type and distribute a monthly Funding Activity Report (FAR).
  - ◆ Generate summer salary and supplemental research payments.
  - ◆ Assist in preparation of reports and paperwork.
  - ◆ Produce the Annual Report of Scholarly Productivity.
  - ◆ Produce the Journal of Undergraduate Research and Creative Activities on the Internet.
  - ◆ Maintain ORCA homepage (<http://orca.byu.edu>).