

**Nebraska Research Initiative (NRI)
NRI Funded Research Facilities and Research Cores
FY Annual Report and Funding Request**

All NRI-funded research facilities and cores must complete an annual report and funding request following the format outlined below. Requests for new cores should follow a similar format by outlining their anticipated services and funding plan. These documents should be compiled and submitted by each campus research office to the Office of the Executive Vice President and Provost at the University of Nebraska (Central Administration/UNCA) on or before October 15th.¹ Centers that administer multiple cores should include reports and budgets for each core. If efficiencies are obtained by providing administrative oversight to multiple cores, expenses associated with those functions should be partitioned between the cores.

Report Elements/Instructions

1. Background

- **Research Service Capabilities**
Describe the basic functions and purpose of the research core (or research facility²).
- **Leadership and Management Structure**
Name the person who is directly responsible for overall leadership of the core (Director), describe their role in operations, FTE spent managing the core, and indicate their job title. If applicable, describe the reporting relationship of the core director to other administrators (Center Directors, Department Heads, Deans, etc.) Note any leadership changes within the core that took place during the reporting year.
- **Personnel**
Describe the number (FTE) and professional qualifications of personnel who help operate the facility during the reporting period (excluding individual(s) listed above). Describe any personnel changes that were made (new/replacement hires, FTE, and/or qualifications).

¹ Campus research offices will set their own deadlines in order to meet the October 15th UNCA due date.

² As appropriate, substitute "Research Facility" for "Research Core" throughout this document.

2. Operations

- Instruments and Services

List the services and/or instrumentation provided by the core and characterize their utilization rate using the template below.

Service and/or Instrument name ³	Percent capacity utilization ⁴	Approximate % of total fee-for service revenue ⁵	Approximate % of total operating and personnel expense ⁶	Total number of unduplicated research groups using service/instrument (Number of PIs)	Total number of unduplicated individuals using instrument/service (Actual users <u>unaffiliated</u> with the core: e.g, PIs, post-docs, graduate students, technicians, etc.)	Total number of unduplicated <u>non-NU campus</u> academic research groups using service/instrument ⁷	Total number of unduplicated commercial/business research groups using service/instrument ⁸

- Core Enhancements

Describe how the core has been enhanced/improved over the last year. (For example, new instrumentation obtained and/or services offered, improved customer service, increased level of technical expertise, etc.).

- Communications/Marketing

Describe efforts to publicize your core's capabilities to colleagues, graduate students, post-docs, etc. on your campus, across all University of Nebraska campuses, and to other academic and business users. (For example, website, brochures, seminars, open houses, tours, training workshops, etc.).

³ If instrument or service is typically billed as a bundle, list here as a bundle.

⁴ Percent capacity utilization for most services/equipment should be estimated relative to the federal standard work period of 2,087 hours per year (equal to 100% capacity). If used very heavily, percent capacity expressed on that basis can be > 100%. If equipment/services are not billed hourly, estimate to what extent the reasonably available capacity is being used.

⁵ The percentage of the total fee-for-service income (row A of the Financial Plan and Request spreadsheet) generated by this particular service/instrument. The items listed in this column of the table should sum to 100%.

⁶ The percentage of total operating and personnel expense (line E-line D) directly attributable to the operation of this service/instrument (for example, you would not likely directly attribute an administrator's salary, but you might attribute a laboratory technician's salary; you should attribute all service/maintenance agreement expenses associated with the item). The items listed in this column of the table typically would sum to <100%.

⁷ This value, a subset of the total unduplicated research groups value, would represent the non-NU campus academic institutions and non-profit research institutes that have used the service/instrument.

⁸ This value, a subset of the total unduplicated research groups value, would represent the number of for-profit entities that have used the particular service/instrument.

- Leveraging⁹
 - Cite grants/proposals submitted or awarded to purchase new instrumentation or capabilities for the core.
 - Cite faculty grants/contracts submitted or awarded that highlight the core's capabilities (and budget for its services).
 - List publications (accepted or published¹⁰) that use data generated using the core's capabilities.

- Operational and Scientific Assessment

Describe the challenges faced by your core, and your current efforts and future plans to mitigate those challenges. (For example, equipment may be nearing end-of-life, a key technician may have left, demand has exceeded capacity, the science may have fundamentally shifted, business model is unrealistic, etc.).

- Faculty Advisory Committee and External Review

List the members of the advisory committee, including title and department. Specify their role and the specific dates they met during the reporting period. Indicate the issues presented to the committee, advice provided on scientific direction/business approaches, and actions taken by the core in response to the advice. In addition, list the last time the core was reviewed by an external team¹¹ and the date scheduled for the next review¹². If a review was conducted during the last reporting period and/or there were issues outlined during the last annual review, expand this section to include appropriate responses.

3. Budget/Funding Request

- Cores that are receiving funding during the current FY (newly funded and existing cores) should complete the "Existing NRI Core Facility" spreadsheet. Cores requesting funding for the first time should complete the "New NRI Core Facility Request" spreadsheet¹³.
 - The "Existing NRI Core Facility" spreadsheet columns B-F include:
 - B. Projected budget data (from the last annual report¹⁴) for the most recently completed fiscal year (FY).
 - C. Actual income/expenses for the recently completed FY.
 - D. Projected final income/expenses for the current FY (based on current year-to-date data and core director projections).
 - E. Funding Request for the next FY.
 - F. Projected income/expense for the following FY.

⁹ Centers have considerable discretion when completing this section. It is recognized that current grant and publication systems often make obtaining the information requested difficult. Nevertheless, there should be a reasonable effort taken to qualitatively and quantitatively characterize how NRI and other resource investments are being leveraged in direct support of faculty and faculty teams' scholarship.

¹⁰ If "accepted" publications are listed, do not list them again in subsequent annual reports.

¹¹ An NRI funded core must be reviewed by an external team once every 5-7 years.

¹² If the core exists within a Center, the review date scheduled should be consistent with the NU Center review schedule. Campus research administrators and/or academic affairs officers have a comprehensive schedule listing the anticipated review dates and the required Board of Regents reporting dates for each Center.

¹³ Follow the general guidance in the "specific notes" sections below.

¹⁴ Equivalent to column D-"Projected for Current FY," but from the previous year's report.

- Specific notes on income row entries:
 - A. Fees: Include all income for charged services, including grant income specifically obtained to support the core's functions. Do not include funds for capital equipment on this line. If vouchers or seed grants were provided to investigators to use the core, include only the amount actually expended or redeemed on this line.
 - B. F&A: Include any F&A returned directly to the core (from its grant activity).
 - C. Personnel: Include grant income for personnel that, as part of the grant, are performing functions directly related to the core's services.
 - D. Institutional Support: Include funding provided by the campus to directly support the core's functions (other than for capital equipment). Do not include seed grants or vouchers that, when expended/redeemed, would appear on the fee for service line. This line would include salary support IF the salary being paid is to support the functions and/or administration of the core.
 - E. Capital Equipment: Include all income (grants, NRI equipment funds and other support) obtained to directly fund capital equipment expenditures.
 - F. NRI Support: Amount received or requested from the Nebraska Research Initiative.
 - G. Other: Indicate other support (e.g., physical supplies provided to the Center at no cost).
 - H. Carry-forward: Indicate any carry-forward balances (negative or positive) that are retained within the core's accounting structure (don't include reserve account balances).
 - I. Depreciation/External Client Surplus Fee Reserve Account (applicable to a service center): Indicate any funds from a reserve account that are being used for operations or capital equipment.

- Specific notes on expense row entries:
 - A. Personnel: Include personnel expenses directly attributable/required to operate the core. Both headcount and FTE should be listed.
 - B. List specific capital equipment expenses.
 - C. List travel expenses directly related to core operations (including staff/faculty professional development).
 - D. Other costs: Segregate (or aggregate) expenses as outlined. For service centers that depreciate equipment or transfer the additional income increment obtained from external clients, include actual (or future year estimate) amounts transferred to Depreciation/External Client Surplus Fee Reserve Account(s).

- Other spreadsheet elements:
 - A. The “Difference Between Projected Income and Expense” row/cell might show a non-zero balance in any of the “projected” columns. Typically, the “actual” column should reflect an Income-Expense equal to zero, as any positive or negative balances should have been mitigated by increasing or decreasing (for example) institutional/campus support. Potential deficits in the “request” column should be addressed prior to submission to NRI, and thus should show a positive or zero balance.
 - B. If the core has accounting-approved service center rates, the box should be checked “Yes.”
 - C. If the service center has a Depreciation/External Client Surplus Fee Reserve Account, indicate the actual (or future projected balance) of that account.

4. Complete a short budget justification for any items that might need additional explanation.