OPERATIONS AND PROCEDURES MANUAL

July 11, 2011
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1 Introduction

1.1 Vision and Mission Statement

PSERC was created with the vision that collaboration among a significantly large group of academic, industrial, and governmental institutions can create solutions to the complex problems in electric power. These problems include technical challenges created by the evolution of the industry as well as educational challenges in providing a new breed of engineers needed by the industry and government. Our vision statement is as follows:

PSERC empowers minds to engineer the future electric energy system. As a multi-university center working with industry and government, we believe it is important to pursue, discover, and transfer knowledge; produce highly qualified and trained engineers, and collaborate in all that we do. Together we seek to achieve:

- An efficient, secure, resilient, adaptable and economic electric power infrastructure serving society
- A new generation of educated technical professionals in electric power
- Knowledgeable decision-makers on critical energy policy issues
- Sustained, quality university programs in electric power engineering

1.2 Operations Manual Revisions

This Operations Manual contains the policies and procedures for the operations of PSERC. This is designed to be a living document, revised whenever necessary to enable PSERC to meet its mission effectively and efficiently. At this stage in the manual’s development, flexibility and ease adaptation of the policies and procedures contained in it will help to insure that the manual’s relevance to current operational needs and practices is achieved.

The manual is maintained by the Director who is responsible for revising it. Recommendation for a revision may come from the Executive Committee, Stem Committees, or the Industrial Advisory Board. The Director may seek approval or ratification of revisions from one or more of those groups, or may implement revisions when deemed appropriate for fulfilling PSERC’s mission. To keep all PSERC industry and university members informed about PSERC’s policies and procedures, the manual is readily available via the web site and at IAB meetings.
2 Expectations and Responsibilities

2.1 Expectations of University Members

University membership in PSERC is determined by action of the Executive Committee (EC) as indicated in the PSERC bylaws. All university members are expected to contribute to the growth of industrial membership and to the intellectual contributions of PSERC through collaboration on research projects and other PSERC activities. The reputation and strength of PSERC is the synergistic accumulation of the activities conducted by each member university on behalf of PSERC. Since changes occur over time at each university, it is important to insure that there is shared understanding of the minimum expectations of each member university. It must be understood that PSERC is a collaborative activity and the activities of each university must add to the overall team effort.

2.1.1 Minimum Expectations

The following are the minimum expectations of university members:

a. Each university is expected to foster active participation of the faculty, students and/or research staff of that university in PSERC projects.

b. Each university is expected to help with the continuation of existing industry members and recruiting of new members.

c. Each university is required to have representation at every IAB meeting.

d. Each university's site director is expected to attend no less than three of the four regularly scheduled Executive Committee meetings each year (including meetings at the semi-annual IAB meetings, the summer workshop, and the Executive Committee retreat).

e. Each university’s site director will satisfactorily perform assigned responsibilities and tasks assigned by the Director to support the administration of PSERC.

f. Each site director will maintain a succession plan that is provided to the PSERC Director.

g. Each site director will keep the PSERC director apprised of plans for future PSERC-related activities at the site director’s university.

2.1.2 Discontinuation of Membership

Section 2.1.1 provides minimum expectations only and may not be sufficient for continuation of any university as a member of PSERC. It is recognized that a university may bring value to PSERC that is not reflected in the above minimum expectations. It is also recognized that other actions of omission or commission by a university may be detrimental to PSERC. Ultimately, the discontinuation of a university as a PSERC member is a serious step and can only be taken by the Executive Committee according to the decision-making procedure described in Section 1.1.4 of the Bylaws.
2.1.3 Procedure for Review of a University’s Performance in Meeting Expectations for Membership

If, in the opinion of the Director, a university is not meeting expectations as described in Section 2.1.1, the Director will notify the site director from that university in writing, providing a list of the minimum expectations and describing how the university is not meeting them. This notification letter will not be sent to the appropriate Dean from that university. The Director will ask the site director to provide a written response by a specified date about how the university will meet the minimum expectations in the future. The written response will be provided to the Executive Committee for discussion in an executive session (excluding the site director from the named university). If the Director and Executive Committee (excluding the site director from the named university) deem that the response is not satisfactory, the site director and Dean of the university will be notified. The Dean will be given the opportunity to respond. The Dean’s response will be provided to the Executive Committee. The Executive Committee, with the concurrence of the Director, has the flexibility to suggest further actions to resolve the situation or move forward with a vote on discontinuance of membership in accordance with Sec. 1.1.4 of the Bylaws.

2.1.4 Site Director Responsibilities

Administrative members are also expected to participate in the business of the EC. Site directors will have responsibility for administrative activities at their respective universities including allocation of funds. However, key personnel changes on PSERC projects or PSERC EC activities must be approved by the EC. The list of current administrative duties for Site Directors is given in Table 2.1. These duties are assigned by the Director as required.

Table 2.1 List of Administrative Duties for Site Directors

<table>
<thead>
<tr>
<th>Titles</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Markets Stem Committee Chair</td>
<td>Meeting Facilities</td>
</tr>
<tr>
<td>Systems Stem Committee Chair</td>
<td>EC Archivist</td>
</tr>
<tr>
<td>T&amp;D Stem Committee Chair</td>
<td>Financial Advisor</td>
</tr>
<tr>
<td>Webmaster</td>
<td>Seminar Coordinator</td>
</tr>
<tr>
<td>Short Course Coordinator</td>
<td>CERTS Liaisons</td>
</tr>
<tr>
<td>Leaders and members of ad hoc teams</td>
<td>Establish a relationship with IAB members as designated by the Director</td>
</tr>
</tbody>
</table>

2.2 Deputy Director’s Responsibilities

1. Assist with active recruitment of new industrial members into PSERC and retention of existing members.
   - Develop and implement marketing activities. Facilitate marketing by PSERC and IAB members.
- Prepare marketing materials
- Work with the administration at the lead university to establish membership agreements with new members
- Respond to member inquiries and take necessary actions to add value to PSERC membership (such as through suggesting web site enhancements and developing new services)

2. Provide administrative services to the PSERC consortium
   - Coordinate with the Director and appropriate site directors in planning and managing Industrial Advisory Board meetings, EC meetings and PSERC retreats.
   - Prepare and/or assemble materials and presentations for meetings.
   - Coordinate project status reporting to the IAB
   - Promote PSERC seminars among members and non-members of PSERC. Certify the award of professional development hours upon request.
   - Work with project leaders to prepare reports for publication (electronically or printed copy)
   - Organize and post materials as needed on the PSERC web site. Assist and educate others in use of web site.
   - Assist the PSERC Director in financial management and reporting.
   - Assist the PSERC accountant in invoicing and record-keeping
   - Complete reporting requirements to NSF. Represent PSERC at the NSF I/UCRC annual meeting when possible.
   - Provide services to undergraduate and graduate students to enhance their educational experience in PSERC and to facilitate their job search. Current services include preparing profile and resume documents, organizing a student listserv and distributing information (such as about PSERC activities and new PSERC publications, and job opportunities), encouraging participation in IAB meetings and presentation of posters at those meetings.
   - Participate in all EC meetings and ensure that accurate documentation is prepared on actions taken.

3. Provide services as requested by the Director
2.3 Stem Committee Responsibilities

1. Conduct technical oversight of on-going research projects
   - Maintain close contact with research teams to assess progress
   - Define minimum reporting requirements for PSERC on-going projects
   - Implement any review procedure for the final reports

2. Solicit and process new project proposals
   - Facilitate discovery of research needs and ideas through collaboration among industry and university PSERC members
   - Define research priorities for a given proposal solicitation
   - Review and rank new project proposals

3. Update the research plan
   - Identify research topics of interest and value to PSERC (industry and university)
   - Perform regular periodic update of a Stem research plan
   - Coordinate PSERC -wide internal review of the research plan
   - Coordinate the research plan with plans of other stems

4. Facilitate research collaboration within PSERC
   - Organize white paper sessions, workshops, brainstorming sessions, on-site or PSERC-wide seminars, tutorials and other PSERC internal collaboration activities
   - Propose the means of engaging students in the PSERC collaboratory
   - Assess the effectiveness of collaboration among researchers and industry
   - Identify ways to expand the level of collaboration and to improve the quality of collaboration among PSERC researchers and industry representatives

5. Plan and implement Stem activities
   - Convene regular meetings of the stem committee
   - Convene regular meetings of research performers
   - Implement reporting procedures to the EC and IAB
   - Develop a short term and long-term plan of activities

6. Promote Stem plans, activities and research to entities outside PSERC
   - Organize workshops, conferences, short courses, tutorial, panels and other activities on behalf of PSERC
• Monitor the use of electronic means such as website, interest groups, users groups, etc. in disseminating the results
• Implement PSERC publication policy for research end products
• Recommend presentations from specific projects at IAB meetings
• Encourage and facilitate commercialization of end products

2.4 Project Leader Responsibilities
1. Promote collaboration among project researchers and industry advisors
2. Communicate at least quarterly with industry advisors on project status. This communication does not include reporting to the IAB.
3. Manage the project to achieve the project’s objectives and to meet the project’s workplan.
4. Keep the project description (including the work plan and deliverables) current. Notify the appropriate stem leader of any changes.
5. Prepare semi-annual status reports following the reporting template (which includes reporting work progress, future work activities and project outcomes, revisions to the work plan, and student involvement).
6. Present a project update at each semi-annual IAB meeting. The presentation can be made by a project team member (including a student). Posters will most typically be used.
7. Inform the stem leader if a project milestone will be missed. Any changes in the final project report due date must be approved by the Director with the recommendation of the stem leader. Requests for changes in the final project report date should be submitted at least six months before the current due date.
8. Prepare the final project report according to established PSERC publication guidelines. The draft report must be received by the Director on or before the due date. The draft report will have been reviewed by industry advisors to the project before submittal to the Director.
9. Post all project documents (such as papers, presentations and reports) to the PSERC website (or create a link on the website to the documents). The documents should be posted according to the requirements of the University Memorandum of Agreement and the standard industry agreement.
10. Inform the stem leader of any personnel changes that could affect the project workplan and budget. All budget changes will be approved by the Director upon receipt of recommendations from the stem leader.

2.5 Industry Liaison Expectations
Each industry member will be represented by a liaison. Each liaison is asked to do the following.
1. Represent the member organization’s interests at semi-annual IAB meetings and provide a proxy when attendance is not possible.
2. Coordinate the organization’s assessment of new project proposals or positions on policy or procedural matters under consideration by the IAB.

3. Actively seek to involve others in the organization in PSERC, either through participation in PSERC (such as stem committees, projects, seminars, etc.) or through use of PSERC products (such as reports and papers).

4. Communicate research and education needs/perspectives of the organization to PSERC’s director, stem leaders, project leaders or other researchers.

5. Disseminate information of interest (such as events and publications).

6. Provide feedback to the PSERC evaluators when requested or when such communication is needed.

7. Be the single-point of contact on administrative matters, such as regarding IAB decisions, requests for publications delays, intellectual property issues or other tech transfer opportunities.

8. Make student profiles and resumes available, and seek opportunities for internships or full time employment of PSERC university students.

9. Coordinate with PSERC staff on administrative matters and keep PSERC up to date on membership invoicing contact information. Invoices for PSERC membership will normally be issued in November for membership in the next year.

10. Contact the Director or Deputy Director when information is needed.
3 Selection of PSERC Director

As stated in Section 2.2 of the PSERC bylaws, “The Director is located at the Lead University, and is nominated by the Executive Committee to the Dean of Engineering at the Lead University for appointment to a renewable term of five years.” These procedures describe how the Executive Committee makes the decision as to who will be nominated.

Selection Process

1. A Nominations Coordinating Committee (composed of the existing Director, the IAB chair, and the Deputy Director) will issue a call for nominations from any PSERC industry or university member. The Committee will contact each nominee to confirm willingness to be a candidate and to answer any questions about the Director’s responsibilities, PSERC as a whole, and the selection process. [10 days to complete]

2. A proposal is due from each candidate. The proposal will respond to a set of questions identified by an Interview Committee. The Interview Committee is comprised of the IAB officers and the Executive Committee members (excluding any candidates). [30 days to complete]

3. The Interview Committee will review the proposals and interview each candidate. The interviews may be conducted by tele-conference. [10 days to complete]

4. The administrative members of the Executive Committee will meet to elect the new Director. In accordance with the bylaws, only the administrative members can vote. Candidates who are administrative members may vote; however, candidates will be included in the discussions only when all attending Executive Committee members deem that it is appropriate to do so. By the bylaws:
   - A meeting quorum is three-fourths (3/4) of all EC members (excluding ex-officio members).
   - Approval required three-fourths (3/4) of all EC members.
   [30 days to complete]
4 New University Members

4.1 Introduction
PSERC is receptive to adding new university members when doing so will help PSERC to better meet its research, education and organizational objectives. It is not PSERC's intention to grow in the number of participating universities unless doing so significantly benefits PSERC's existing university and industry members. PSERC may add new universities in accordance with Sec 1.1.4 of the Bylaws. The Director will coordinate the process of considering a new university member and will be responsible for communicating with prospective members about the membership requirements, and about the status and outcome of any request.

4.2 Minimum Requirements
The minimum requirements for new university members are:

a. Commitment to meet the expectations of university members as described in Section 2.1
b. Agreement to sign the University Memorandum of Agreement
c. Agreement to waive indirect costs or provide equivalent institutional support on all PSERC membership funds
d. Demonstration of broad industry support for membership by bringing at least three new organizations willing to pay PSERC membership fees. Examples of qualifying organizations are government agencies or departments; associations; and businesses that are publicly, privately or government owned. Within one company ownership structure, there can be multiple memberships of wholly-owned companies, whether they are subsidiaries of the parent organization or are incorporated companies owned by the parent in a holding company. To initiate the process, an existing member (or members) may support a new university member with multiple memberships equivalent to at least three new memberships for a period of three years. However, within three years, the new university must obtain three new PSERC industry members. This arrangement will be terminated if the new university member is unsuccessful in obtaining three new industry members.

4.3 Decision Process
The process leading to the consideration of a new university member of PSERC is as follows:

a. The Director may receive suggestions for new PSERC universities at any time from the Executive Committee, any researcher in PSERC, or industry members. Non-PSERC universities may also make inquiries about possible membership.
b. Upon receiving a membership suggestion or a membership inquiry, the Director will decide whether to invite a prospective university to submit a proposal. The Director may consult with Executive Committee members and IAB officers in making this decision.
c. The Director will invite a prospective university to submit a proposal that provides the following information:
   - Letter of institutional endorsement from the Dean or equivalent administrator
• Statement of commitment to meet the minimum expectations given in “Section 4.2
• A list of three or more organizations who will join PSERC if the university becomes a
member, and letters showing such support;
• A list of the faculty at the university who would be participating in PSERC, and a
description of their areas of research
• The intended site director; and
• A description of the education program related to electric power, including classes
offered, trend in undergraduate and graduate student numbers, and future
development plans.

d. The completed proposal may be submitted to the Director at any time.
e. IAB Chair and Vice Chair will be invited to comment on the proposal, including the "fit"
of the new industry members with PSERC.
f. The Executive Committee will review the proposal and the feedback provided by the IAB
officers. The review process is flexible. The Executive Committee may be able to make a
decision based on review of the proposal. Alternatively, Executive Committee may
choose to conduct interviews, request presentations or request supplemental information.

g. In reviewing the proposal, the Executive Committee will consider such factors as:
• Synergies in research and education
• Likelihood of successful collaboration
• Quality of the research and standing of the program
• Financial implications
• Capability and commitment to meet the expectations of university members
• Impact on the Executive Committee's administrative decision-making processes

h. The Executive Committee will vote on the proposal after a reasonable amount of time for
review in accordance with Sec 1.1.4 (requiring at least 3/4 approving votes).
i. The final step of approval will be receiving the signed University Memorandum of
Understanding and the industry membership agreements from the new organizations.
5 Additional Membership Funds

5.1 Objective and Level
To provide flexibility to PSERC to respond to specific member needs, PSERC members may pay membership fees in addition to their primary membership. The funds will be sent to the Lead University following the same procedure as with primary membership funds.

5.2 Uses
Unlike primary memberships, additional membership funds may be used as targeted support for individual projects. The following are guidelines for use of additional membership funds.

1. The funds can be used for activities that have been approved for this procedure by the EC and the IAB. The uses include research and any other authorized PSERC activities. The funds could be used to add a new project, or to change the schedule or scope of work of an existing project.

2. All intellectual property provisions in membership and university agreements covering PSERC research apply to projects supported by these funds.

3. All policies and procedures toward PSERC research projects in general, such as reporting and information dissemination, apply to projects supported by these funds.

These funds cannot be used for contract work between a university researcher and an industry member. A contract between any industry member and the appropriate university will be required, following that university’s overhead policy, if the industry member does not wish to follow the requirements for additional membership fund projects as described in this section of the Operations and Procedures Manual. Projects developed under contract will not be considered PSERC projects and will therefore not qualify for the special overhead rates afforded to PSERC projects.

5.3 Authorization
The Director will authorize use of additional membership funds. Requests for PSERC use of additional membership funds will be made to the Director. Depending upon the nature of the request, the Director may seek approval of the IAB or recommendations from an appropriate Stem Leader (on research-related requests) before giving the authorization.

5.4 Reporting
The Director will notify IAB members of additional membership funds authorizations at each IAB business meeting.

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1 A general policy on additional membership funds was approved at the December 2001 IAB meeting.
5.5 IAB Votes
Members do not receive additional votes on the IAB when they provide additional membership funds.

5.6 Relationship to PSERC Agreements
PSERC’s additional membership fund program complies with all of the requirements of PSERC’s industry and university agreements. No changes in any agreements are expected as a result of the program.

5.7 Targeted Research Projects
Targeted research projects are projects for which additional membership funds (less the standard PSERC overhead) flow directly to designated researchers for projects approved as described in this section.

5.7.1 Relationship to PSERC’s Research Plan and Annual Solicitation Process
PSERC’s annual project solicitation is the principal process used to approve new projects. This allows for development of a consistent set of projects that have been proposed, reviewed, and approved following PSERC’s research plan. Thus, most PSERC projects have been reviewed during the annual proposal solicitation process; however, special cases are considered, such as when time is of the essence so that a project cannot wait for the normal review process. Specific justification for approving a targeted research project outside of the annual solicitation process must be provided when the project is proposed.

5.7.2 Characteristics
Targeted research projects are consistent with PSERC’s Research Plan and complement the annual solicitation process in such ways as:

- providing support for recommended projects that are contingent upon funds being available, or for projects that were reduced in scope from the original proposal due to funding limitations;
- supporting exploratory research that could lead to proposals for new projects; and
- extending the results from a PSERC project based on the needs of a particular industry sponsor.

5.7.3 Approval
The Director approves proposals for targeted research projects considering the criteria given in Section 7. Due to the targeted nature of these projects, the Director applies the criteria within the context of each specific project proposal. For example, collaboration across universities and industry members is not necessarily a requirement of targeted research projects. In addition, the Director’s approval of the proposal is contingent upon the justification as to why the proposal should be approved outside of the annual solicitation process.
5.7.4 Funding Sufficiency
Since projects are subject to cancellation or reduction in scope if targeted funding is insufficient throughout the intended project life, the Director only approves projects that industry supporters intend to fund over the entire project life.

5.7.5 Reclassification
A targeted research project may be reclassified as a base project (that is, a project supported by the annual PSERC research budget) if it is submitted and approved in the annual process described in Section 6. All of the approval criteria in Section 7 must be satisfied for the reclassification to occur.

5.7.6 Timing
Targeted research project proposals may be submitted to the Director at any time in the period after the Director submits funding recommendations to the IAB in the annual solicitation process and before the following year’s annual summer planning workshop.

5.7.7 Notification
The Director promptly notifies the Executive Committee, Stem Committee Leaders, and the IAB of approved targeted research projects.

5.7.8 Responsibilities of Targeted Research Project Leader
Other than as noted in Section 5.6, policies and procedures related to base research projects also apply to targeted research projects. Therefore, the targeted research project leaders have the same responsibilities and expectations as leaders of base budget projects, as described in section 2.4. In addition, targeted research project leaders are responsible for coordinating and maintaining the timely flow of the additional membership funds from the project sponsors.

5.7.9 Project Brokering
University researchers may want to find industry sponsors for a targeted research project, or an industry sponsor may want to find additional industry supporters, particularly for a multi-year project. There are a number of ways of finding supporters through brokering a project idea, including:

- Sending out the proposal to the IAB listserv (IAB-L@cornell.edu) or just to industry liaisons
- Providing a tele-seminar describing the proposed project, role of industry advisors, and funding needs
- Posting a proposal on the PSERC website.

PSERC’s Deputy Director facilitates brokering activities when needed. PSERC’s seminar coordinator approves specific tele-seminars as a part of PSERC’s overall seminar series. Since PSERC seminar series is intended to reach a broad audience of industry, faculty, staff, and students on substantive topics, project-specific tele-seminars may be outside of the regular series, particularly when administrative and funding issues will be discussed.
6 Project Proposal Process

6.1 Budget for New Projects

The target for the PSERC research budget will be to spend about on-half of the research funds on new projects every year. As needed to meet this target, some funds may be banked from one year to the next.

6.2 Project Creation Process

a. The Director is responsible for creating and issuing a research solicitation using input from the Stem Committees, EC, and IAB. The solicitation will include a timetable for the proposal process. An example of such a timetable is given in Table 5.1.

<table>
<thead>
<tr>
<th>Date</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>December - July</td>
<td>Stem Committee hold discussions on research ideas and needs.</td>
</tr>
<tr>
<td>February</td>
<td>Director and Executive Committee evaluate the prior year’s solicitation process and decide on the process for the current year. Anticipated funding levels for the next solicitation also are reviewed.</td>
</tr>
<tr>
<td>May 1</td>
<td>Advance solicitation distributed with general information including new project budgets and solicitation schedule, but without research priorities.</td>
</tr>
<tr>
<td>By August 6</td>
<td>Distribution of final solicitation with updated stem research plans and priorities.</td>
</tr>
<tr>
<td>By September 12</td>
<td>The proposals are sent to the Deputy Director.</td>
</tr>
<tr>
<td>By September 13</td>
<td>Proposals forwarded to industry members of the research stems with a ranking/prioritization form for feedback and ranking. Proposals also forwarded to stem leaders who will seek two anonymous academic reviews by PSERC researchers.</td>
</tr>
<tr>
<td>By October 9</td>
<td>The ranking form, along with comments, due to the Deputy Director at <a href="mailto:pserc@engr.wisc.edu">pserc@engr.wisc.edu</a>. Academic reviews also due.</td>
</tr>
<tr>
<td>By October 11</td>
<td>Director sends proposals, industry reviews and academic reviews to the Executive Committee.</td>
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<tr>
<td>By October 31</td>
<td>The Executive Committee provides its recommendation to the Director.</td>
</tr>
<tr>
<td>By November 14</td>
<td>The Director decides which proposals will be presented at the December 5-7 IAB meeting, and notifies proposers of any needed modifications to their proposals. Also, Director informs the researchers to prepare for presentations at the December IAB meeting.</td>
</tr>
<tr>
<td>By November 16</td>
<td>The Director sends proposals to the IAB members.</td>
</tr>
<tr>
<td>December 6</td>
<td>Presentations on selected proposals made by researchers. IAB members vote on projects to recommend to Director. Recommendations forwarded to Executive Committee.</td>
</tr>
</tbody>
</table>
December 7  Executive Committee review IAB recommendation, and makes final recommendation to the Director.

By December 14  Director makes all final decisions about initiating new projects. Funding to begin when the funds are available (typically in June). Director begins notifying researchers of the results of the solicitation process.

b. Stem committees will solicit and develop project ideas to improve the quality of the proposals that are eventually reviewed by the IAB. They have the principal responsibility of facilitating dialog among industry and university representatives on research needs from the level of individual companies to the broader industry, and for facilitating the creation of projects to address those needs. Following the priorities set by the IAB, Director and EC, they should facilitate the creation of a set of proposals that will achieve the disciplinary balance and quality expected of PSERC’s research program, and that will advance PSERC’s mission. In this process, the responsibility for identifying research needs and proposing research ideas is shared by industry and university members of PSERC, and discussed collaboratively.

c. After discussions beginning at the December IAB meeting, stem committees will produce a list of research proposal topics based on the stem’s research plan which is reviewed at each year’s summer workshop. Discussions at the summer workshop play a major role in completing each year’s research solicitation. The research topics will be added to the annual research solicitation with the current stem research plan. An example of a research solicitation is given in Figure 6.1. The example does not include the stem research plans and research topics of particular interest for that solicitation.

d. Researchers will submit proposals following the research solicitation and the proposal template. The proposal template will be provided by the Director. Researchers submitting a proposal will suggest the research stem committee(s) that should review the proposal. In the proposal, researchers will describe how the proposed project relates to the stem’s research plan and the research topics identified in the solicitation. If the proposal involves two or three stems, then the researchers will indicate the lead stem and provide the reasons for the involvement of multiple stems. The Director may choose to change the designated lead stem. For projects involving multiple stems, the Director may choose to allocate the research budget across stems.

e. The review of proposals within the three research stems will be invited of all industry members of PSERC. Only one review will be accepted from each member for each set of stem proposals. The industry review will include a prioritization of the proposals within each stem. No prioritization will occur across stems. Comments about each proposal will be encouraged. An example of a request to industry for a review of proposals in a particular stem is given in Figure 6.2.

f. The review of proposals will also be conducted by researchers in PSERC. Two anonymous reviews of a proposal will be requested by the leader of the designated lead stem for a proposal. If the stem leader is a member of the research team on that proposal, the Director or the Director’s designate will be responsible for identifying the two PSERC researchers who will review it. An example of a request to a PSERC researcher for a proposal review is given in Figure 6.3.
g. The Deputy Director will assemble and forward the proposals along with a synthesis of industry reviews and academic reviews to the EC. The EC review of proposals will be in two steps. The first step will be the technical merit assessment of each proposal based on industry, academic, and personal reviews. After the technical merit assessment of all proposals, the second step will be the development of a portfolio recommendation based on the proposal evaluation criteria in Section 7. To complete the second step, the Director may propose a strawman recommendation of a research portfolio.

h. Upon receipt of the project proposal recommendations from the EC, the Director will make a final decision on the portfolio of research projects that will be sent to the IAB before the December IAB meeting and on the proposals that will be presented at that meeting.

i. Presentations of proposals will be made at the December IAB meeting. After hearing the proposal presentation, the IAB will vote on a recommended portfolio of proposals. This recommendation will be forwarded to the EC for its information. The EC will then vote on its final recommendation to the Director.

j. The Director will make the final decision on which new proposals to fund (when funds are available) based on the input from the EC and the IAB. Funding of new projects will begin on June 1 subject to the availability of funds.
Overview

This solicitation is for project proposals from collaborative teams of PSERC researchers and industry members. The submitted proposals will follow the guidelines given in this solicitation. Proposals should be for work consistent with PSERC’s research plan and should contribute to achieving PSERC’s mission of addressing significant challenges facing the electric power industry. PSERC is a collaboratory and its research projects should promote collaboration across universities and industry members. If a proposer has any questions about collaboration, the stem research areas, the evaluation criteria, or the solicitation in general, then the stem leaders should be contacted at:

- Markets: Chair - Richard E. Schuler, Cornell University (res1@cornell.edu, 607-255-7579); Vice Chair - Mark Sanford, GE Energy (mark.sanford@ps.ge.com, 518-385-4431)
- Transmission and Distribution Technologies: Chair - Gerald T. Heydt, Arizona State University (heydt@asu.edu, 480-965-8307); Vice Chair - Bob Saint, NRECA (robert.saint@nreca.coop, 703-907-5863)
- Systems: Chair - Jim McCalley, Iowa State University (jdm@iastate.edu, 515-294-4844); Vice Chair - Mahendra Patel, PJM Interconnection (patelm3@pjm.com, 724-853-5309)

Before Submitting a Proposal

Industry members and university researchers are urged to participate in the Stem Committee processes for generating research ideas. Stem Committees hold meetings at IAB meetings, conduct conference calls, and lead sessions at the Summer Workshop. Besides participating in the Stem Committees, industry members and researchers can send descriptions of research ideas to Dennis Ray, PSERC’s Deputy Director (djray@engr.wisc.edu), who will forward the descriptions to the appropriate listserv and Stem Committee Leaders. This is another way to advance the formation of research and industry advisor teams needed to prepare and submit a proposal.
Figure 5.1 (continued)
Example of the Introductory Section of a PSERC Research Solicitation

Basic Requirements

Submittal Deadline: September 12, 2007

The following criteria will be used by the stem committees, the Industrial Advisory Board
(IAB), the Executive Committee, and the Director to review, rank, and identify proposals for
funding.

1. Industrial issues:
   a. Does the project have at least two companies interested and the names of two
      industry people who will devote time to work with PSERC on the project?
   b. Does the IAB rank the project high?

2. Center issues:
   a. Does the project properly fit the solicitation?
   b. Are multiple Universities involved?

3. Quality issues:
   a. Is the project innovative and creative?
   b. Do the proposed investigators have good track records?

4. Budget and balance issues:
   a. Does the project contribute to equitable university site funding distribution (that is, 
      lead toward an average funding of $120K/site over a 3-year moving window)?
   b. Does the project contribute to equitable investigator funding distribution?
   c. Does the project contribute to the balance of basic vs. applied research?
   d. Is the budget correct for the work proposed – typically $95K?
   e. Does the proposal advance PSERC’s education mission by budgeting support for 
      students?
   f. Does the project have one leader, at least one researcher from another university, 
      and two industry participants?

5. Previous obligations: Do the researchers involved in the proposal have any
   outstanding PSERC reports that are past the due date?

Regarding fit with the solicitation, submitters should review the research areas and topics
identified by the stems. These areas and topics are given later in the solicitation.
Figure 5.1 (continued)
Example of the Introductory Section of a PSERC Research Solicitation

*Project Duration:* Project lengths should be one to two years. The typical project period will be June 1, 2008 to August 31, 2010. The funding will begin once sufficient membership support has been received.

*Funding Period:* The project begins as soon as funds are available, generally in June 2008. The ending date is based on the approved project life.

*PSERC’s Research Budget:* The approximate budget for new projects is $355,000. The allocation targets among the stems are: Markets - $120,000; Systems - $95,000; and T&D Technologies - $140,000. It is possible that final stem allocations will vary from the targets following review and selection of the submitted proposals according to the process given in the PSERC Operations and Procedures Manual.

*Project Budget:* Expected average project budget is $95,000 year. In keeping with PSERC’s education mission, support of students will be viewed favorably as the main component of proposal budgets.

*Research Stem:* Indicate the research stem committee(s) that you feel should review the proposal. If there is a question about the choice of research stem, contact the stem leaders. In the proposal, describe how the project relates to the stem’s research plan and the topics given in this solicitation. If the proposal involves two or three stems, then indicate the lead stem and provide the reasons for the involvement of multiple stems.

*Proposal Length:* Not to exceed six pages, including references; however, the budget page can be the seventh page.

*Proposal Format:* Use the PSERC proposal template to prepare the proposal. The template can be obtained from Dennis Ray, PSERC Deputy Director (djray@engr.wisc.edu, 608-265-3808).

*Submission Address:* Send your Word file (not PDF) to Dennis Ray, Deputy Director (djray@engr.wisc.edu).

*Continuing Lines of Research:* Requests for continued funding of lines of research will be made in the form of new proposals. The same evaluation criteria will be applied to all new and continuing proposals. If you have questions about the PSERC solicitation, please contact the Stem Leaders.
### Figure 5.2

**Example of a Request for Industry Reviews in a Particular Stem (Markets)**

<table>
<thead>
<tr>
<th>Proposals</th>
<th>All proposals are available on the PSERC website. Click here to access the research solicitation and proposals. Log-in is required. Contact your liaison for log-in information.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Deadline</td>
<td>October 9, 2006</td>
</tr>
<tr>
<td>Reviewers</td>
<td>Industry Members of the Markets Stem (one review form per organization)</td>
</tr>
<tr>
<td>Submit to</td>
<td>Dennis Ray, Deputy Director (<a href="mailto:djray@engr.wisc.edu">djray@engr.wisc.edu</a>), email submission of this Word file only</td>
</tr>
</tbody>
</table>

**Instructions**

1. **Funding Class. One of the following: HP, FIP, DNF, NPN.**
   
   Each project needs to be assigned to one of the following funding classifications:
   
   - High Priority (HP). Include this project is the proposals to be funded first.
   - Fund if possible (FIP). This project should be funded only if membership funds are more than sufficient to cover the high priority (HP) projects.
   - Do not fund (DNF). Use this response to indicate that you have substantive concerns about the proposal (e.g., technical concerns, feasibility, likelihood of success, etc.). Please provide an explanation of your DNF response in the comment section.
   - No opinion. (NPN). Use this response to indicate that you are choosing not to make a funding recommendation (e.g., because there may not be a clear need for the project). Please provide an explanation of the NPN response in the comment section.

2. **Rank. “1” the highest, “8” the lowest. Integers only.**
   
   Each project needs to be ranked from 1 to 8. The highest ranking project should be assigned the rank “1.” The lowest ranked project should be ranked “8”. The remainder should be ranked accordingly between 1 and 8 based on your judgment. **Each project should have a different ranking.**

3. **Comments. Free format. No limit. Comments urged!**
   
   Comments about your classification and ranking choices are strongly urged. They will be used by the Director and Executive Committee to develop project recommendations. Comments may include responses to one or more of the following.
   
   - Explanations of ratings (particularly DNF and NPN)
   - Suggestions for improvements
   - Reasonableness of the scope of work and budget
   - Duplication of the research work of others. If so, please provide specific references and documentation of that work.
Figure 5.2 (continued)

Example of a Request for Industry Reviews in a Particular Stem (Markets)

**Evaluation Process Questions:** Contact Vijay Vittal, 480-965-1879, vijay.vittal@asu.edu, or Dennis Ray, 608-265-3808, djray@engr.wisc.edu.

**Stem Related Questions:** Contact the Stem Leader

**Notes:**

1. A reviewer’s name and organization will be kept confidential. As necessary, comments will be edited to maintain that confidentiality.

2. The solicitation indicated that the approximate 2007 PSERC base budget for Markets projects is $345,000. This is not a fixed budget level, so you are asked to focus more on the merit of the proposed project than PSERC’s research budget. As submitted, the total requested funds for Markets is $361,000. This does not include any additional membership funds that industry member’s may want to provide.

3. Comments on each project are strongly encouraged to help the Director and Executive Committee understand your recommendations. Your comments may be as long as necessary.

4. Project proposal evaluation criteria are used by the Stem Committees, the Industrial Advisory Board, the Executive Committee, and the Director in making final decisions about new project funding. The criteria can be found in the 2006 Solicitation. The criteria should not be interpreted as minimum eligibility requirements. For example, industry participation in a proposed project is one criteria used. There is no minimum for the number of participating industry members for a proposal to be eligible for funding. The criteria are given below.

5. Special instructions for cross-stem proposals involving two or more stems: Proposals may be included in two or more stem budgets when there is justification for doing so. If you are reviewing a cross-stem proposal, please focus on the merits of the proposal in your evaluation as compared to other proposals in the stem. Please do not down-rate it simply because you think funding should come from another stem. Finally, please consider coordinating your response with others in your organization who are reviewing proposals from the other stems.
Reviewer: name (kept confidential)

Thank you for agreeing to review following proposal in response to the 2006 PSERC Proposal Solicitation:

Proposal Title (number):

Please use this document to provide your review of the proposal. In reviewing the document, do keep in mind that PSERC’s portfolio of projects includes projects for different disciplines, and of fundamental and applied research. Our principal requirement is that the proposed research be consistent with the research solicitation. Please be specific about any concerns that you have about the proposal. This detail will help the Director and the Executive Committee evaluate the proposal. Finally, your name as a reviewer will be provided to the Executive Committee, but the specific proposal that you reviewed will not.

We need them by COB on Oct. 9. This is an absolutely firm date! If you cannot meet this deadline, please let us know immediately so another reviewer can be found.

1. CONTRIBUTION AND SCHOLARSHIP. What is the intellectual merit of the proposed activity? Will the proposed work make a significant contribution to its field of research or a discussion of policy? Is the scholarship sound? Does the proposal meet academic standards?

2. ORIGINALITY. Does the proposal bring a fresh perspective to the topic? Does it duplicate or recapitulate other works? Is it novel, correct, and insightful?

3. LIKELIHOOD OF SUCCESS: Will the proposed statement of work and tasks likely lead to results that meet the proposal's objectives and expected outcomes? Why or why not?

4. SUMMARY: Please summarize your evaluation of this proposal.

5. FUNDING RECOMMENDATION (please explain your rating):
   (Choose between Fund; Fund If Possible; Do Not Fund; No Opinion) where
   - High Priority (HP). Include this project is the proposals to be funded first.
   - Fund if possible (FIP). This project should be funded only if membership funds are more than sufficient to cover the high priority (HP) projects.
   - Do not fund (DNF). Use this response to indicate that you have substantive concerns about the proposal (e.g., technical concerns, feasibility, likelihood of success, etc.).
   - No opinion. (NPN). Use this response to indicate that you are choosing not to make a funding recommendation (e.g., because there may not be a clear need for the project).
6.3 Proposal Format

Project Title:

Note: Maximum length is six pages, single-spaced using 11-point font and one inch margins. Please use left-justified paragraphs as given in this template. Submit electronically in Word format to Dennis Ray, pserc@engr.wisc.edu. For further information, contact the stem leader for the stem identified above.

<table>
<thead>
<tr>
<th>Summary</th>
<th>One or two sentences describing the project.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Stem</td>
<td>Select between Markets, T&amp;D Technologies and Systems. Cross-stem projects are permitted. In this case, designate one stem as the lead stem and provide the reasons for the involvement of each stem in the proposed work in the section “Relationship of this Work to the Research Plan and Topic Areas for this Solicitation”.</td>
</tr>
</tbody>
</table>
| Academic Team Members | Project Leader: name (school, email address, phone)  
Team members: name (school, email address)  
Note: There should be only one designated project leader. The project leader is the central point of contact between PSERC and the project team. |
| Industry Team Members | Individual names and their organization |
| Project Period   | Typically the project period will June 1, 2008 to August 31, 2010. Start date will be no earlier than June 1, 2008 unless additional membership funds are used. Actual start date will depend upon the availability of funds. The end date should be August 31 for any projects that are expected to begin in June. |

<table>
<thead>
<tr>
<th>Requested Funding from Base PSERC Budget</th>
<th>Researchers</th>
<th>CY 2008</th>
<th>CY 2009</th>
<th>Total</th>
</tr>
</thead>
<tbody>
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</table>

(Notes: Enter funding for the 2008-2009 and 2009-2010 academic years in the 2008 and 2009 calendar years respectively. Provide a budget description in the appendix. If additional membership funds (i.e., supplemental funds from members) are included, prepare a separate budget for those funds.)

| Supplemental Funding | Give anticipated supplemental funding by year for each academic team member – if such funds are anticipated. The supplemental funding could come from PSERC members (as additional |
membership funds) or any other sources. (Note: An “additional membership funds” budget needs to be included for approval by the Director in accordance with PSERC’s Ops Manual.)

**Project Description:** [The description should discuss the research need/questions that motivate the project and the objectives of the project.]

**Potential Benefits:** [These should be benefits to the industry as a whole and to the industrial members of PSERC. The listed benefits should allow an industrial member of PSERC to identify some part of the business where there will be a quantifiable effect of the work, such as through cost reduction or service improvement.]

**Expected Outcomes:** [List and describe anticipated outcomes of the project such as reports, software, etc.]

**Potential Applications:** [Describe potential applications (such as tools, hardware, operating protocols, market designs, and policy assessments) that could eventually come from the line of research suggested in the proposal.]

**Technical Approach:** [Describe the methods and techniques that will be used to achieve the project’s objectives.]

**Work Plan:** [Give tasks/milestones and completion dates for each year of the project. Identify specific tasks for each researcher.]

**Work Supported by Additional Membership Funds:** [Describe what work in the work plan is made possible by additional membership funds.]

**Related Work:** [Comment on how the proposed work fits into the line of research that has already been conducted or is being conducted in the area. Researchers should consider work that is being conducted in academia, government and industry. An extensive bibliography should not be provided. Only major related works need be identified.]

**How this Work Differs from Related Work:** [The unique contribution of this work should be clearly presented.]

**Relationship of this Work to the Research Plan and Topic Areas for this Solicitation:** [The proposal should state how the work fits into PSERC’s research program in the stem given above. In the case of cross-stem proposals, provide the reasons for the involvement of each stem.]

**Collaboration Plan:** [Describe the mechanisms that will be used to encourage collaboration among the project advisors and the research team, including (1) by what means will the research team communicate with project advisors, how often, and for what purpose; (2) how will working documents and papers be made available; and (3) how will the research team, including students, collaborate.]
Appendix (on a separate page)

In this appendix, provide an explanation of the proposed budget for each university. Use the following budget categories:

Salaries, Fringe Benefits and Insurance (for each person)

  Faculty:
  Staff:
  Student:
  Total:

Tuition

Travel

Other (specify)

Total Proposed Budget
7 Project Proposal Evaluation Criteria

The following criteria will be used by the stem committees, the Industrial Advisory Board, the EC, and the Director in making decisions about new project funding. The criteria do not represent minimum requirements for proposal selection.

1. Industrial issues:
   a. Does the project have at least two companies interested and the names of two industry people that will devote time to work with PSERC on the project?
   b. Does the IAB rank the project high?

2. Center issues:
   a. Does the project properly fit the research plan?
   b. Are multiple Universities involved?

3. Quality issues:
   a. Is the project innovative and creative?
   b. Do the proposed investigators have good track records?

4. Budget and balance issues:
   a. Does the project contribute to equitable site distribution (lead towards an average funding of 120K/site over a 3-year moving window)?
   b. Does the project contribute to equitable investigator distribution?
   c. Does the project contribute to the balance of basic vs. applied research?
   d. Is the budget correct for the work proposed – typical 95K?
   e. Does the proposal advance PSERC’s education mission by budgeting support for students?
   f. Does the project have one leader, one co-leader from another university, and at least two industry participants?

5. Previous obligations: Do the researchers involved in the proposal have any outstanding PSERC reports that are past the due date (see section 8.4)?


8  Project Reporting, Evaluation and Closeout

8.1 Project Reporting

Project reporting is done for each Industrial Advisory Board meeting. The format for the reporting should consist of the original proposal format plus additional information describing progress since the last report. In addition, each on-going project will present a poster at each IAB meeting to facilitate discussion with and review by industry members. Presentations before the IAB as a whole may be requested.

Each project leader will maintain communications with the appropriate Stem Committees on the status of the research and on meeting project milestones. Any anticipated problems in meeting the project work plan in general and the final report due date in particular will be reported to the appropriate Stem Leader as soon as possible, but no later than when the project status reports are due for each IAB meeting. Requests for significant modification of the work plan (including tasks, milestones, and expected outcomes), or for changes in the final project report due date should be submitted to the appropriate Stem Committee for recommendation to the Director.

8.2 Project Evaluation

Projects are evaluated at each Industrial Advisory Board meeting. In addition, the Stem Committees, IAB and EC will provide evaluations with any specific recommendations at the May IAB meeting. The final project evaluation will occur when the final report is prepared and disseminated as discussed below.

8.3 Closing Out a Project

The project report due date is the initial date by which the draft final report must be received by the Director. Review and comment by industry project team members, and any resulting edits of the final report, will be completed before submitting the draft report. All subsequent reviews and final technical edits (either by the authors or an editor) will be completed within 60 days of the Director’s receipt of the draft report.

Closing out a project means that the initial draft has been received and reviewed by the industry members of the project team (along with others in industry or academia as designated by the Director), edited as needed in accordance with comments and with PSERC publication guidelines, and submitted to the Director for distribution (such as through posting on the web site and or printing) to the IAB initially, and then to PSERC members and the public. In addition, the Director will solicit assessments from industry and academia about the project’s actual contributions or successes.

Once the final report has been distributed to IAB members, the members will have 30 days to request delay of final publication for 90 days (in accordance with the University Memorandum of Understanding and the industry membership agreements). After 30 days, but no later than 90 days, the report will be made available for distribution to the public.

8.4 Late Reports

A draft final report is due at the end of the project period, as discussed in Section 8.3.
A researcher may not be a member of a proposed research team if that researcher has not completed his/her contribution to a late report, as attested to by the project leader. Completed contribution by the project leader must be attested to by the Director, or by the appropriate Stem Chair if the Director is the project leader. If at any time it is determined that the contribution is not in fact sufficient, then the Director may deem the research report contribution by that researcher as being late as of the due date of the final report.

In addition, the Director may withhold funds from project participants whose final project reports are late by four months or more. Even if a new project has been approved, if a member of the new project's research team is a member of a team whose report is late by four or more months, that team member may not be allowed to have funds transferred from the lead university until the overdue report is completed. Even so, the team member may choose to work on the new project, but may not get paid until the late report is submitted and approved in accordance with Section 8.3.
9 Policies for Review and Publication of PSERC Reports and Papers

PSERC project deliverables consist of, as a minimum, two technical reports per year. Other products that may change in scope and form prior to formal publication as reports and articles may be required or produced as needed. Formal deliverables resulting from activities coordinated by or funded by PSERC are subject to internal PSERC review as described below.

9.1 Publication Requirements

As noted in Section 2.4, all PSERC project leaders are required to report their project activities and progress at least twice a year. All project publications (reports, papers and presentations) must comply with the following:

PSERC reserves the right to publish in scientific/engineering journals the results of research as submitted in the final deliverable of each funded project. Each industry member, however, will have the opportunity to review any paper or presentation containing results of the research program of PSERC, prior to publication of the paper, and will have the right to request a delay in publication for a period not to exceed 90 days from the date of submission to the industry member, for proprietary reasons (i.e., to identify the inadvertent disclosure of a sponsor’s confidential information, or to identify potentially patentable subject matter), provided that industry member makes a written request and justification for such delay within 30 days from the date that the industry member is notified of the intent to publish by PSERC.

9.2 Internal Review

All PSERC products will normally be made available for meaningful internal reviews by industry and university researchers as designated by the Director. Authors are expected to respond to review comments and communicate their response(s) to the Director.

9.3 Recognition

All final PSERC products (reports, published papers) will acknowledge PSERC. There are requirements for standard technical report covers, or the organization/format of report described below. Presentations of PSERC activities should acknowledge PSERC. The text for acknowledgement should read:

- If the work is a PSERC project: “This [paper, report, etc.] is an account of work sponsored by the Power Systems Engineering Research Center (PSERC)."

- If the work is sponsored by an outside agency through PSERC: “This [paper, report, etc.] is an account of work coordinated by the Power Systems Engineering Research Center (PSERC) on behalf of [funding agent]."
9.4 Distribution

All final PSERC project products (reports, published papers, but not confidential work products) will be made publicly accessible via the PSERC website. Each PSERC researcher is responsible for notifying the Director's Office of completed publications, for posting to the PSERC web site, or submitting them to the Deputy Director for posting on the PSERC website as a *.pdf file.

Final reports will be distributed in the following steps.

a. Draft reports will be submitted to Director after review comments by industry advisors have been received and incorporated as appropriate.

b. Draft reports will be posted to a web site folder requiring log-in. This will make the report available to industry and university members of PSERC including students. A statement will be added to the report that the report will not be made available to the public.

c. Internal reviews, as required by the Director and technical edits, will be completed within 60 days.

d. After incorporating any changes based on review comments, final reports will be delivered to the Director by the project leader, and subsequently prepared for publication with an official PSERC cover.

e. Final reports will be posted to log-in folder on the web site for 90 days and notices sent to IAB members of its availability.

f. After 90 days, reports will be made public electronically and, when appropriate, in printed form; however, the project leader may send a request to the Director for additional delays in making reports public.
10 Procedure for Planning the Next Steps in Moving Research Results toward Applications

10.1 Voluntary Participation by Research Team

Project team leaders may request a review of their project results by a team of IAB members who will provide advice on how project results could be advanced toward applications. To request such a review, a project team leader will submit to the Deputy Director the relevant final project report plus a one to two-page document that identifies:

- project results that the project research team would like to develop further;
- what potential future applications (such as tools, hardware, operating protocols, market designs, and policy assessments) could eventually result from the process of research, development, demonstration, deployment, and commercialization;
- what social (e.g., industry, government or the public) needs those potential applications could meet, and
- what work (such as answering new research questions, testing with field data, software development, equipment design, etc.) and the level of financial support that would be needed to take the next step in the research and development process.

10.2 Next Steps Advisory Team

The Deputy Director will forward the request to the IAB Chair with a copy to the Director. The IAB Chair, in consultation with the IAB Vice-Chair, will form a Next Steps Advisory Team of two or three people from IAB industry member organizations. Some or all of the Advisory Team could be comprised of individuals who were involved in the research project.

10.3 Review and Feedback Procedure

a. The Advisory Team will be asked to review the written request considering:

- project results identified by the project leader and any other results not identified but of potential value
- potential future applications identified by the project leader and any other potential applications that were not identified but of potential value
- the need for the potential applications
- the next steps needed to move the research results toward applications, and
- potential funding sources for the needed additional work.

b. After reading and reflecting on the request, the Advisory Team will have a meeting (including by conference call) with the project team leader and other interested research team members to discuss the request. At this meeting, the Advisory Team members should be asking clarifying questions, providing comments, gathering reactions from the project team leader, etc.
c. After discussions with the project team, the Advisory Team will develop a response to the request, and discuss that response with the project team leader. Then, a written summary of the items listed in paragraph 2 above will be sent to the IAB Chair and Vice-Chair. Comments from the IAB officers may be added to the summary. The IAB Chair will then send the summary to the project team leader with a copy to the Director.

10.4 Subsequent Actions by the IAB Officers and Next Steps Advisory Team

With the support of PSERC administration as needed, subsequent actions may include:

- advice on a specific plan submitted by the project team leader for the next steps in the work, including how to approach potential funding sources,
- support of efforts to get funding for additional work, such as contacting industry and serving as references, and
- hosting a demonstration or workshop at which a proposal from the project team would be presented.

10.5 Requests for PSERC-Sponsored Activities

The project leader may submit a request to the Director for PSERC-sponsored activities, such as emails to the PSERC industry listserv, tele-seminars, workshops, forums, etc., in support of a plan for taking the next steps that has been reviewed by the Next Steps Advisory Team.
11 PSERC Adjunct and Junior Adjunct Researchers

11.1 Purpose
The purpose of the PSERC Adjunct Researcher program is to recognize people with unique professional skills at a non-PSERC university and to encourage collaboration that advances the mission of PSERC. The PSERC Junior Adjunct Researchers program is an outreach program targeted at promising pre-tenure young researchers at non-PSERC university who have the potential of eventually becoming PSERC Adjunct Researchers.

11.2 Sponsorship and Application
An applicant for PSERC Adjunct Researcher or Junior Adjunct Researcher must have a PSERC university faculty member as a sponsor, and must provide the following information to the Director:

- Name, title, department, and contact information
- Sponsoring PSERC faculty member
- Vita
- A statement of the applicant’s research interests associated with PSERC’s work and of what the applicant would like to accomplish as an Adjunct Researcher.
- Industry and government organizations that the applicant interacts with on an on-going basis
- List of organizations that you will try to recruit as PSERC members (optional for Junior Adjunct Researchers).

A typical letter to a potential PSERC adjunct researcher to invite application is given in Figure 11.1.

11.3 Approval
The Executive Committee must approve all appointments of PSERC Adjunct Researchers and Junior Adjunct Researchers. To be appointed for either of these positions requires the approval of at least three-fourths of the Executive Committee members (excluding ex-officio members). A successful vote will be followed by a letter of invitation from the Director of PSERC that gives the two year appointment term (Section 11.4), describes the rights and responsibilities of an Adjunct Researcher or Junior Adjunct researcher (Section 11.6), and identifies the necessary agreements (Section 11.8) The approved applicant must sign the letter of invitation and return it to the Director.

11.4 Appointment Period
Appointments will be made for a renewable term of two years.
Dear

I am writing to invite you to consider collaborating with PSERC as an [Junior] Adjunct Researcher. The purpose of the PSERC [Junior] Adjunct Researcher concept is to recognize [promising pre-tenure] researchers with unique professional skills at a non-PSERC university and to encourage collaboration that advances the mission of PSERC. As an [Junior] Adjunct Researcher, you may:

- Attend PSERC IAB meetings and retreats
- Participate on PSERC Stem Committees
- Obtain access to “member only” PSERC web pages
- Use the PSERC logo on slides and documents
- As an Adjunct Researcher, receive funding for PSERC research projects either through inter-institution agreements (or subcontracts) or consulting contracts with PSERC universities.

You would not be entitled to indicate that your university is a PSERC member university nor would you be able to lead a PSERC-funded project. [As a Junior Adjunct Researcher you would not be eligible to receive funding from PSERC, but you may participate as a member of project research teams.]

PSERC’s Executive Committee is the approval authority for Adjunct Researchers. We invite you to submit the following for their review:

- Name, title, department, and contact information
- Sponsoring PSERC university
- Vita
- A statement of why are you interested and what would you like to accomplish as an adjunct researcher.
- Industry and government organizations that you interact with on an on-going basis
- List of organizations that you will try to recruit as PSERC members. [Optional for Junior Adjunct Researchers]

We look forward to hearing from you.

Figure 11.1 Request Letter to a Potential [Junior] Adjunct Researcher

11.5 Criteria

The criteria to be used in evaluating potential PSERC Adjunct Researchers is the following:

- Technical qualifications
- Ability to enhance the PSERC mission
- Political issues
• Diversity issues
• Geographical issues
• Educational opportunities
• Company recruitment potential

11.6 Rights and Responsibilities
A PSERC Adjunct Researcher may:
- Attend PSERC IAB meetings and retreats
- Participate on PSERC Stem Committees
- Obtain access to “member only” PSERC web pages
- Use the PSERC logo on slides and documents
- Receive funding for PSERC research projects either through inter-institution agreement (or subcontract) or consulting contract with the lead university or another PSERC university.

PSERC Adjunct Researchers and Junior Adjunct Researchers may not:
- Indicate that the researcher’s university is a member of PSERC
- Serve as the leader of a PSERC research project.

PSERC Junior Researchers may:
- Attend PSERC IAB meetings and retreats
- Participate on PSERC Stem Committees
- Obtain access to “member only” PSERC web pages
- Use the PSERC logo on slides and documents

PSERC Junior Researchers may not receive PSERC funding.

11.7 Recruiting
PSERC may list the PSERC Adjunct Researcher and Junior Adjunct Researchers by that title on the PSERC website and use this affiliation for recruiting purposes.

11.8 Agreements
Adjunct researchers may either receive PSERC disbursements under an inter-institutional sub-contract with PSERC or under a consulting agreement with a PSERC university. Inter-institutional sub-contracts will require:
- forgiven or substantially discounted university overhead on PSERC funds
- intellectual property terms and conditions insuring that PSERC meets its intellectual property commitments to PSERC universities and industry members.
The university of a PSERC Adjunct Researcher and a PSERC Junior Adjunct Researcher will not receive the same intellectual property rights of PSERC universities as described in the University Memorandum of Understanding. The agreements may also include appropriate conditions to insure successful collaboration and completion of research performed by the Adjunct Researcher or Junior Adjunct Researcher. Adjunct Researchers and Junior Adjunct Researchers will be provided separate Memorandums of Understanding for signature at their universities.

11.9 Mentors for Junior Adjunct Researchers

Junior Adjunct Researchers will be requested to work with a PSERC researcher who will serve as a mentor of the Researcher’s collaboration with PSERC.
12 PSERC Copyright Policy

12.1 Preamble

The creation of copyrighted works is one of the ways that PSERC fulfills its mission of contributing to the body of knowledge for the public good. PSERC encourages the creation of original works of authorship, and the free expression and exchange of ideas.

This policy is intended to embody the spirit of the academic tradition, providing copyright ownership to faculty and staff for their scholarly and aesthetic copyrighted works. The policy is consistent with both United States Copyright Law and with the policies of each author’s home institution.

The patent licensing procedure is governed by the Memorandum of Understanding Between University Members of the Power Systems Engineering Research Center (PSERC) (as given in Appendix A of the PSERC Bylaws) and the PSERC-Industry/University Cooperative Research Center Industrial Membership Agreement (as given in Appendix B of the PSERC Bylaws.) Nothing in this procedure should be construed as contradicting the terms of those agreements.

12.2 Purpose and Scope

This statement gives the PSERC policy on the copyright ownership for works produced in total or in part using PSERC funds; and published, distributed or maintained by PSERC. This policy applies to intellectual content created by faculty, staff and students under PSERC funding. This policy addresses copyright ownership; it does not address ownership or access to the underlying research results or data.

It is not the intent of PSERC to own or hold rights to any works protected by copyright. PSERC is not a legal entity authorized to exercise rights. Accordingly, the intent of this policy is to clarify PSERC’s policy with respect to materials distributed in various medium by PSERC to its members and the public at large.

12.3 Definitions

For purposes of this policy, the following definitions will apply.

12.3.1 Copyright

Copyright is the intangible property right granted by federal statute for an original work fixed in a tangible form of expression. Copyright provides the owner with the following exclusive rights in a work: to reproduce, to prepare derivative works, to distribute by sale or otherwise, to perform publicly and to display publicly.

12.3.2 License

A contract in which a copyright owner grants to another entity the permission to exercise one or more of the rights under copyright.
12.3.3 Originator(s) or Author(s)
One who produces a work by his or her own intellectual labor.

12.3.4 PSERC Funds
Funds, regardless of source, that are administered under the control, responsibility, or authority of the PSERC. Three principal examples of funding sources are PSERC members, U.S. DOE and NSF. PSERC funds will not include direct payments by NSF to the member universities under the I/UCRC program, EPSCoR, or any other direct funding source even if PSERC faculty/staff helped to originate or organize the effort to obtain the funds and decide on their allocation.

12.3.5 Work
Any copyrighted expression, including literary work (including written lectures and presentations); pictorial or graphic work; motion picture and other audiovisual work; sound recordings; and computer software.

12.4 Copyright Ownership

12.4.1 Scholarly/Aesthetic Work
A scholarly/aesthetic work is a work originated under PSERC-funding resulting from independent academic effort.

Ownership of copyrights to scholarly/aesthetic works will reside with the originator subject to the copyright policies of the institution of which the originator is an employee. The copyright will reside with the lead author of co-authored works.

12.4.2 Non-PSERC Work
A non-PSERC work is a work that is prepared without the use of PSERC funds. If PSERC funds are a portion of the support for that work, then it is deemed a PSERC work.

Ownership of copyrights to personal works will reside with the originator according to the policies of the originator’s institution.

12.5 Copyright Agreement and Notification

12.5.1 Materials
PSERC makes the following materials available to its industry members and to PSERC member universities (faculty, staff and students): published papers; presentations (including Power Point materials, and web casts); and PSERC reports (including final, interim and draft versions).

12.5.2 Formats
PSERC makes those materials available to its industry members and PSERC member universities (faculty, staff and students) via the following formats:
• printed (final reports only)
• CD (as linked to web site documents, or containing documents such as draft and final reports)
• web site members-only folders: pre-publication documents, interim reports and draft final reports, presentations and posters at IAB meetings and PSERC retreats;
• web site public folders: published papers, public presentations and final reports.

In accordance with PSERC’s University Memorandum of Agreement and the industry agreement, all PSERC-funded documents and presentations will be placed in the pre-publication folder for a minimum of 30 days before being put in public folders on the web site or otherwise distributed.

12.5.3 PSERC Ownership of Copyrights
PSERC does not own or hold title to any copyrights. Those rights remain with the originator(s) in accordance with the policies of the originator’s institution. Except for the provisions in Section 11.5.45 below, permissions to distribute (all or in part), create derivative works, etc. must be obtained from the originator, although PSERC agrees to facilitate the obtaining of those permissions for PSERC-funded works.

12.5.4 Authors Working Under PSERC Funding
Originator’s of works under PSERC funding agree to the following copyright policies.
1. All interim, draft and final reports are subject to the following policy:

   PSERC members (industry and university) are given permission to copy for internal use and without fee all or part of this publication if appropriate attribution is given to this document as the source material. Reports are available for downloading from the PSERC website. PSERC’s Director may authorize distribution of final reports without permission of the author(s).

2. The author agrees to the following policy regarding documents placed in public folders on the PSERC web site:

   PSERC does not hold copyright to this document; however, the author gives permission to use this publication for research or educational use without fee, if appropriate attribution is given to the author and document as source material.

When posting a document to the web site, the authors will be assumed to comply with the copyright policy of the publisher to which the document may have been submitted.

12.5.5 Web Site Disclosures
The following disclosures will be placed in the PSERC web site folders:

   This material is presented to ensure timely dissemination of scholarly and technical work. Copyright and all rights therein are retained by authors or by other copyright holders. All persons copying this information are expected to adhere to the terms and constraints
invoked by each author's copyright. In most cases, these works may not be reposted without the explicit permission of the copyright holder.

12.5.6 Disclosures in Reports

The following disclosure will be placed in interim, draft and final reports.

PSERC members are given permission to copy without fee all or part of this publication for internal use if appropriate attribution is given to this document as the source material. This report is available for downloading from the PSERC website.
13 Intellectual Property Protection: Patents

13.1 Introduction
The patent licensing procedure is governed by the Memorandum of Understanding Between University Members of the Power Systems Engineering Research Center (PSERC) (as given in Appendix A of the PSERC Bylaws) and the PSERC-Industry/University Cooperative Research Center Industrial Membership Agreement (as given in Appendix B of the PSERC Bylaws.) Nothing in this procedure should be construed as contradicting the terms of those agreements. Italicized words in this section are extracted directly from those agreements. The basic procedures for using patents to protect intellectual property generated in PSERC are given in this chapter. Table 13.1 overviews the sequence of events from disclosure to licensing. Figures 13.1 and 13.2 give examples of disclosure letters to qualified PSERC industry members. The specific wording and notice procedure will be in accordance with the policies of the owning universities.

13.2 Intellectual Property
... “intellectual property” shall include (1) potentially patentable inventions that are conceived during the performance of PSERC-sponsored research activity, and (2) copyrighted computer software that is specified as a deliverable item in a Center-sponsored research activity. (University MOU)

13.3 Ownership
a. All patents derived from inventions conceived or first actually reduced to practice in the course of research conducted by [PSERC] shall belong to [the owning universities] as outlined in the Memorandum of Agreement between PSERC universities. (Industry Agreement, para. F)

b. Where all the inventors are employees of one university member of the consortium, ownership of intellectual property, regardless of form, shall be in that member. Where the inventors are employees of more than one member of the consortium, ownership shall be jointly held by those members. (University MOU)

c. The university of one of the inventors may be designated by the owning universities as the coordinating university. If there is only one university, then that university will be deemed the coordinating university.

13.4 Disclosure
a. All inventors of potentially patentable inventions are required to make prompt disclosure of such intellectual property to the appropriate “administrative unit or agent” of the respective inventor’s institution(s). (University MOU)

b. This office (these offices) will in turn promptly notify each member institution of the disclosure, which shall be treated as confidential information until such time as a patent application is filed or a decision is made not to file. (University MOU)
c. [The coordinating university] will disclose to [all qualifying industry members] each subject patentable discovery within three months of its identification by [the coordinating university]. (Industry Agreement, para. F)

d. The inventors will promptly inform the Director of the disclosure.

e. The list of qualifying PSERC universities and industry members at the time of disclosure will be provided by the Director upon request by the coordinating university.

f. With respect to timing, if [an organization] is a member of the [Center] at the time of disclosure, they are entitled to [the rights given in the university and industry agreements]. Otherwise they are not. (Industry Agreement, para. F).

13.5 Notice of Application for Patent Protection

a. The Director will be informed promptly of a patent application by the inventor.

b. Non-owning universities and qualifying industry members of PSERC will be informed promptly of a patent application by the coordinating university.

c. The owning institutions will decide in which countries to seek patent protection, and will file for such protection, prosecution and maintenance in accordance with their institution’s policies. (University MOU)

13.6 Licenses

(1) In accordance with standard business practice, each industry member will have three months after receiving the disclosure or notice of patent application to request a license from the owning or coordinating institution. This request may be either for a non-exclusive or exclusive license; however, issuance of an exclusive license is subject to the terms of the industry and university agreements as described in paragraph 8.6(3) below.

(2) [The owning or coordinating university] and [a qualifying industry member] shall negotiate in good faith mutually agreeable, satisfactory terms of a nonexclusive license within three months of the request for a license. (Industry Agreement, para. F). This three month period will also apply to negotiations for an exclusive license.

(3) If [a qualifying industry member] is the only [member] of the [Center] interested in a license for a subject disclosure then [the owning or coordinating university] is free to negotiate an exclusive licensing arrangement... with [the member]. (Industry Agreement, para. F)

(4) If no PSERC [industry member] is interested in a commercial license, the [owning or coordinating university] is free to offer exclusivity... to other non-[member] companies. (Industry Agreement, para. F) Such negotiations with non-members may begin as early as three months after notice of patent application is made or immediately after an unsuccessful conclusion of a negotiation for a license with a PSERC industry member.

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<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
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<tr>
<td>1.</td>
<td>Inventor discloses the discovery to the inventor’s university.</td>
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| 2.   | Inventor’s university reviews the disclosure and makes a determination of whether to proceed with a patent application.  
  - If the determination is positive, then proceed.  
  - If the determination is negative, then the inventor may pursue other options, such as making a patent application filing through another university if multiple inventors are involved, or filing the patent application personally in accordance with the policies and procedures of the National Science Foundation, the inventor’s university, and PSERC. |
| 3.   | Inventor’s university identifies owning universities if more than one exists. |
| 4.   | Coordinating university selected (if only one owning university, then that university is the coordinating university). |
| 5.   | Inventor notifies PSERC Director. |
| 6.   | Coordinating university promptly contacts PSERC Director to get list of qualifying universities and qualifying PSERC members. |
| 7.   | Coordinating university promptly notifies qualifying universities. |
| 8.   | Coordinating university sends qualifying PSERC industry members a notice of invention disclosure within three months of the decision to proceed with a patent application. Example text for the notice is in Figure 8.6.1. |
| 10.  | Inventor notifies PSERC Director of the patent application filing. |
| 11.  | Coordinating university promptly notifies non-owning PSERC universities and qualifying PSERC members of the patent application filing. Example text for the notice to industry is in Figure 8.6.2. |
| 12.  | Interested PSERC industry members must request a license from the coordinating university within three months of notification of patent application filing. This request may be either for a non-exclusive or exclusive license; however, issuance of an exclusive license is subject to the terms of the industry and university agreements (see step 13). Specifically, an exclusive license can only be offered to a PSERC industry member if no other member requests a license within the three month period after notification. |
| 13.  | Coordinating university negotiates a non-exclusive license within three months of any request from a PSERC industry member. Coordinating university also has three months to negotiate an exclusive license if the request for an exclusive license has been received during the three month after notification and if no other PSERC industry member has requested a license during that period (see step 12). |
| 14.  | If no requests are received within three months of notification (see step 12), or if no successful negotiation of a license with a PSERC industry member occurs (see step 13), then the coordinating university may negotiate licenses with non-PSERC industry members. |

* Note: The exact sequence will depend upon the situation.
Example of a Notice of Invention Disclosure to a PSERC Industry Member

This Notice of Invention Disclosure is being provided in accordance with Paragraph F of the Power Systems Engineering Research Center’s Industry Agreement. An invention disclosure has been made to [University] by the inventors. Enclosed is an invention disclosure summary, including:

- Title
- Inventors and their universities (not officially determined until patent application)
- General description of invention
- Background
- Possible applications

You will be sent a Notice of Patent Application Filing if a filing is made. Please contact this office for more information.

Figure 13.1: Disclosure of Discovery

Example of a Notice of Patent Application Filing to PSERC Industry Member

This Notice of Patent Application Filing is being provided in accordance with Paragraph F of the Power Systems Engineering Research Center’s Industry Agreement. A patent application filing has been made subsequent to the invention disclosure (summary attached). You have the right to license this intellectual property according to the terms of the PSERC Industry Agreement. You have three months from the date of this notice to contact this office to request a license. A license may also be requested after three months; however, after three months, non-PSERC members may also request licenses.

Please contact this office for more information.

Figure 13.2: Notice of Patent Application
14 Web Site Policy and Use

14.1 Web Site Policy

The PSERC web site, http://www.pserc.org, is valuable for archiving and disseminating information in support of collaboration in PSERC. There are two principle parts of the site; public access and private access. Private access requires the use of a username and password. All PSERC members may be issued a password by contacting the webmaster, Professor Chris DeMarco by e-mail (demarco@engr.wisc.edu) or the Deputy Director, Dennis Ray, (djray@engr.wisc.edu), indicating the username and password they would like to use. One username and password is used for each industry member rather than one per individual. The site is set up so industry and university members can post documents.

Private information is information proprietary to PSERC researchers and industry members. Our agreement with industry sponsors states that we will hold private any information not previously reviewed through presentation at meetings or by sending them a report or paper either electronically or some other way. Information that is subject to review is held for 30 days. The clock starts running when, for example, the document is posted on the web site. It may be moved to the public part of the site any time after 30 days.

There may be other reasons to hold information private (for example, data sets with non-disclosure agreements, etc.). Except for the contractual obligation described above, the decision about where to post information remains with the person posting it.

The web site folder will be designated for publications that are being withheld from public release for the thirty day period noted in Section 9.

14.2 Documents to be Uploaded

First priority will be given to posting publications resulting from PSERC-supported projects, with acknowledgment of support therein. However, posting of publications clearly related to the mission of PSERC, and authored or co-authored by individuals at PSERC institutions or members, is also strongly encouraged.

14.3 Questions About Website Content and Procedures

If you have questions about materials that are on the website, you can contact:

- Appropriate PSERC members (see http://pserc.org/members.htm)
- Professor Chris DeMarco, the PSERC webmaster, at mailto:demarco@engr.wisc.edu
- Dennis Ray, PSERC Deputy Director, at djray@engr.wisc.edu.
15 Sponsorship of Short Courses, Conferences and Other Professional Development Programs

PSERC provides three types of sponsorship for conferences, short courses and other professional development programs as discussed below. The level of sponsorship of a given program must be approved by the PSERC Director upon recommendation from the short course coordinator.

1. Sponsor

- PSERC will have complete responsibility for the technical, financial, publicity and administrative aspects of the program. This means that the PSERC administration will subsidize all financial loses, and will receive all financial gains from the program.
- Any program proceedings qualifies for distribution through PSERC.
- All publications and announcements must include the PSERC logo, and the program title must include the PSERC name.

2. Co-Sponsor

- PSERC will have significant shared responsibility for the technical, financial, publicity and administrative aspects of the program. The relationship between sponsoring entities should be explicitly defined in terms of a Memorandum of Understanding.
- The program title may include the PSERC name.
- Any program proceedings qualifies for distribution through PSERC.
- All program publications and announcements are encouraged to use the PSERC logo.

3. Technical Co-Sponsor

- PSERC will have no responsibility for the financial aspects of the program.
- PSERC will have involvement in the organization of the technical program, and will assist in advertising.
- The PSERC name may not be used in the program title.
- Any proceedings qualifies for distribution through PSERC.
- The PSERC logo may be used in program publications and announcements.

4. Release of industry member contact information

PSERC member contact information will be released only for sponsored, co-sponsored or technically co-sponsored programs as defined above.

5. Short Course Coordinator

PSERC’s Director will appoint a short course coordinator who will be responsible for PSERC-sponsored short courses (see paragraph 1 above). The Coordinator will:

a. solicit proposals for new short courses at least once per year. The RFP will be of the form given in Figure 15.1.

b. decide which proposals will be sponsored.
c. be responsible for the overall planning, marketing and evaluation of the course.
d. be responsible for the course pedagogy, content, and delivery.
e. work cooperatively with the proposers and other course faculty.
f. propose to the Director the amount of funds PSERC will provide a seed support.

6. **Short Course Proposal Approval Process**

Short course proposals will be submitted to the Director. The Director will select three reviewers and request review comments on each proposal. The Director will forward the proposals with review comments to the Short Course Coordinator who will make the final decision on one or more proposals that fit with PSERC’s objectives for short courses (as discussed in the text of Figure 15.1). The Coordinator may request one or more iterations on the proposal, but will work collegially with the proposers. Once a proposal is acceptable, the Coordinator will submit a budget to the Director for approval. Funding requests up to $10,000 will be considered.

7. **Short Course Management**

The Coordinator will be responsible for successful management of each short course. If the business plan for the short course involves outside businesses, such as for marketing the course, the Coordinator will submit a proposal business model for profit and risk sharing. A contract will be established between the Lead University and that business before any work is begun.
Request for Proposals for PSERC-Sponsored Short Courses
(Issued in Spring 2006)

The discussion on continuing education at the PSERC Summer Workshop focused on the need to undertake some new initiatives on this front. PSERC is inviting proposals for offering new short courses in areas of expertise of the membership. We are looking for niche offerings that no one else has at this point in time. The course should give PSERC a head start in the market for the course offered. The PSERC plan consists of undertaking one and at most two new courses per year, and also the possibility of repeats of courses to take advantage of the power of the word of mouth advertising of the past attendees. There should be somewhere in the 30 - 40 participant range to, at the very least, break even in any given offering. PSERC can provide some funds for the course underwriting/marketing support in the $5 - $10 K range. The idea would be to have PSERC reimbursed for its support upon the successful completion of the course using the course revenues. The payment scheme for the course developer/producer should be incentive based with the payment increasing as a function of the greater number of attendees.

Proposals are invited from the PSERC community for pioneering new courses that have a likelihood of succeeding in the continuing education market. Each proposal should provide a brief description of the course and include, at the minimum, a description of the following:

- learning objectives of the course and target audience
- proposed faculty and program/syllabus
- uniqueness of the offering (that is, describe the closest competing courses and how this course is different)
- rationale for PSERC involvement
- marketing plan and lists of potential attendees
- involvement of industry/PSERC industrial members
- proposed location and facilities
- detailed budget giving the fee, attendance, and costs at the breakeven point
- repeatability of the course in terms of market and faculty interest.

The proposal should be able to give us insights as to the marketability and the soundness of the proposed course, and how the course draws on the unique strengths of PSERC. In preparing the budget for the course, plan on a fifteen percent discount for PSERC members. The proposal should be no more than five pages. It should include endorsements from at least three companies that will commit to sending at least one person to the course.

Please submit your proposal by April 1 to Dennis Ray, Deputy Director, at djray@engr.wisc.edu.

Figure 15.1 Example Short Course RFP
16.1 Records
The Lead University maintains the financial records for PSERC.

16.2 Responsibilities
The Director has the overall responsibility for insuring that PSERC’s financial records are maintained in accordance with the Lead University’s accounting and auditing policies and practices. In fulfilling this task, the Director is assisted by the site director serving as the PSERC Financial Advisor, the Deputy Director, and the PSERC accountant.

16.3 Reporting
The Director keeps PSERC industry and university members informed of PSERC’s financial status. The manner of reporting is decided by the Director with the advice of the Industrial Advisory Board and the Executive Committee.

16.4 Working Capital
PSERC targets a working capital equal to ten percent of basic membership revenues, net of committed funds, to maintain a timely flow of funds to research projects. Available funds in excess of the working capital are allocated consistent with PSERC's bylaws, and the Operating and Procedures Manual.