

Building a Bridge: from Pre-Award grant development to Post-Award expenditure

Plenary Session

Syracuse University OSA-OSP Sponsored Projects Education

Thursday, August 8, 2013

Drumlins Country Club

© 2013 Syracuse University

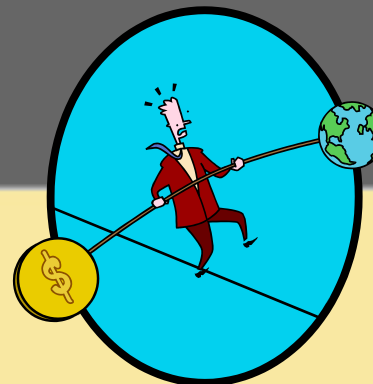
Presenters

- **Margaret “Peg” Austin**, Associate Director
Center for Policy Research, Maxwell School
- **Christina Leigh Deitz**, Grant Development Administrator
Office of the Dean, Maxwell School
- **Kathleen “Katie” Keough**, Senior Research Administrator
Research Center, Falk College
- **Elizabeth “Liz” Lonergan**, Executive Director
Office of Sponsored Accounting (OSA)
- **Stuart “Stu” Taub**, Director
Office of Sponsored Research (OSP)

Agenda

1. Sponsored Projects – What are they?
2. Sponsored Projects – How do they get started?
3. Proposal Development
4. Review, Endorsement and Submission
5. Award Negotiation and Setup
6. Managing the Award
7. Award Close-out

What to Expect



- This is the 200 ft. view
- Looking at the whole picture
 - ♦ You probably know the moving parts, but we want to create community/discussion around the whole process
- Emphasizing
 - ♦ How you interact with faculty during each stage;
 - ♦ How you interact with other University units during each stage;
 - ♦ Importance of communication early in the process;
 - ♦ What are your tips or ideas at each stage?

Sponsored Projects – What are they?

Sponsored Projects / Sponsored Programs Defined:

- Research, instruction or other scholarly, creative or service activities financed in whole or in part by external entities.

<http://osp.syr.edu/About%20Sponsored%20Programs/About%20Sponsored%20Programs.html>

- Any externally funded research or scholarly activity that has a **defined scope of work or set of objectives**, which provides a basis for sponsor expectations ... involves research, demonstration, professional development, instruction, training, curriculum development, community and public service, or other scholarly activity involving funds, materials, other forms of compensation, or exchanges of in-kind efforts under awards or agreements.

http://www.research.drexel.edu/administration/Overview/Sponsored_Properties.aspx

Sponsored Projects – What are they?

You have a sponsored project when ...

- Proposal submitted in response to an **RFP** or similar solicitation;
- Proposal includes a **set of objectives** which provides a basis for sponsor expectations;
- Proposal commits the University to a specific line of scholarly/scientific inquiry typically documented in a **statement of work**; and **commits University resources** (personnel effort, use of equipment, facilities);
- Proposal includes a **detailed budget**;
- Proposed project involves the use of **human subjects**, laboratory animals, radioactive or hazardous materials, recombinant DNA, carcinogens, pathogens, or proprietary materials;
- There is a specified **period of performance**, typically defined by “start” and “end” dates;
- Sponsor requires **deliverables** stated in an agreement, such as reports, financial accounting, or intellectual property ownership;
- Award **restricts or monitors publications** or use of results or protection of **confidential information**;
- Award provides for the **disposition of tangible or intangible property** that may result from the project (equipment, records, formal activity reports, theses and dissertations, rights in data, software, copyrights, inventions or research-related materials, etc.);
- Award specifies **fiduciary responsibilities** such as adherence to a line item budget, project audit, payment contingencies, and the return of any unexpended funds at the end of the project;
- The sponsor is involved in making decisions regarding project performance or stands to **derive benefit from the work performed**.

Sponsored Projects – What are they?

Who are the funders?

- Federal Government
 - ♦ Departments of Agriculture, Energy, Defense, Health & Human Services, Justice; National Science Foundation; Environmental Protection Agency, others ...
- State Government
- Foundations
 - ♦ International, National, Regional
- Other Non-Profit Organizations
 - ♦ Other Universities, Think Tanks, Special Interest Societies (e.g. American Cancer Society)
- Industry, For Profit Corporations
 - ♦ Microsoft, Lockheed Martin
- Corporations
 - ♦ Corporate Foundations and Corporate Giving Programs
- Other types of funders?

Sponsored Projects – What are they?

Types of awards

- **Grant**

- ♦ Purpose: To transfer money, property, services or anything of value to recipient in order to accomplish a public purpose;
- ♦ ***No substantial involvement is anticipated*** between funder and recipient during performance of activity.
- ♦ Potential expectation of cost sharing.

- **Cooperative Agreement**

- ♦ Purpose: Same as above. However,
- ♦ ***Substantial involvement is anticipated*** between funder and recipient during performance of activity.
- ♦ Potential expectation of cost sharing.

- **Contract**

- ♦ Purpose: To acquire property/services for direct benefit or use of funder;
- ♦ Very restrictive, can have high demands;
- ♦ No expectation of cost sharing
- ♦ Types: Cost reimbursement and fixed price

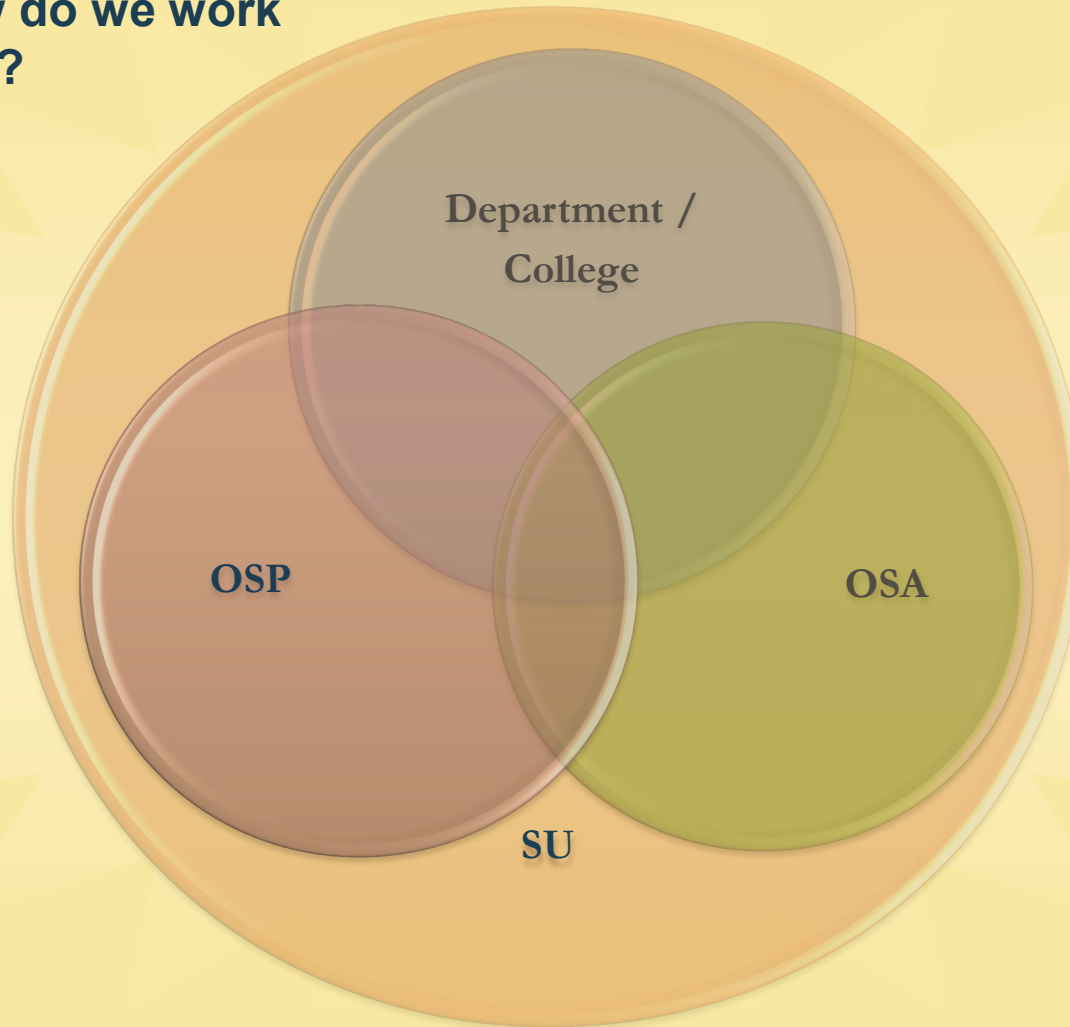
Sponsored Projects – What are they?

So who is involved?

- ♦ Researcher “PI”
- ♦ Outside collaborators, could be within or outside of SU
- ♦ Department/Center/Institute/College personnel
- ♦ Academic and Research Division Administration/ Office of Research
- ♦ Office of Sponsored Programs
- ♦ Office of Sponsored Accounting
- ♦ Corporate and Foundation Relations
- ♦ Payroll
- ♦ Human Resources
- ♦ Purchasing
- ♦ Legal Office/Technology Transfer/Industrial Development
- ♦ Office of Research Integrity and Protections/IRB/IACUC for human or animal subjects
- ♦ Risk Management

Sponsored Projects – What are they?

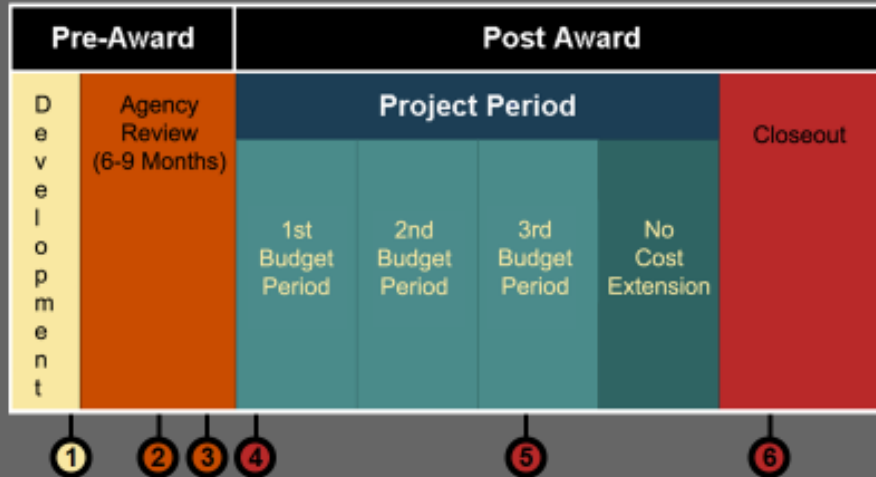
And how do we work together?



Sponsored Projects – What are they?

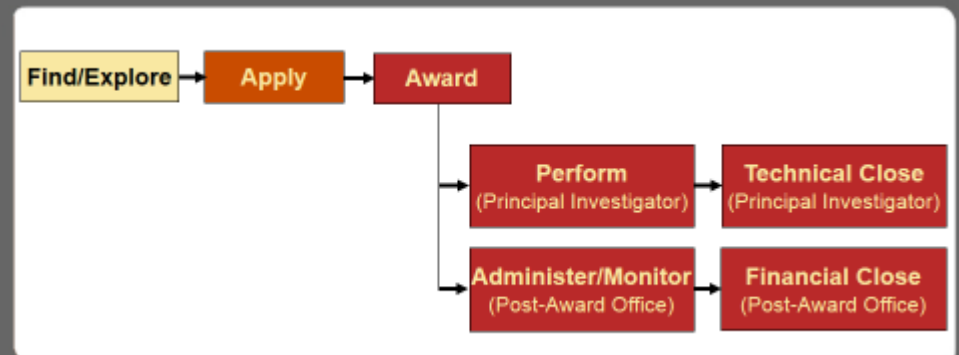
**So what does the lifecycle
of an award look like?**

Sponsored Projects – What are they?



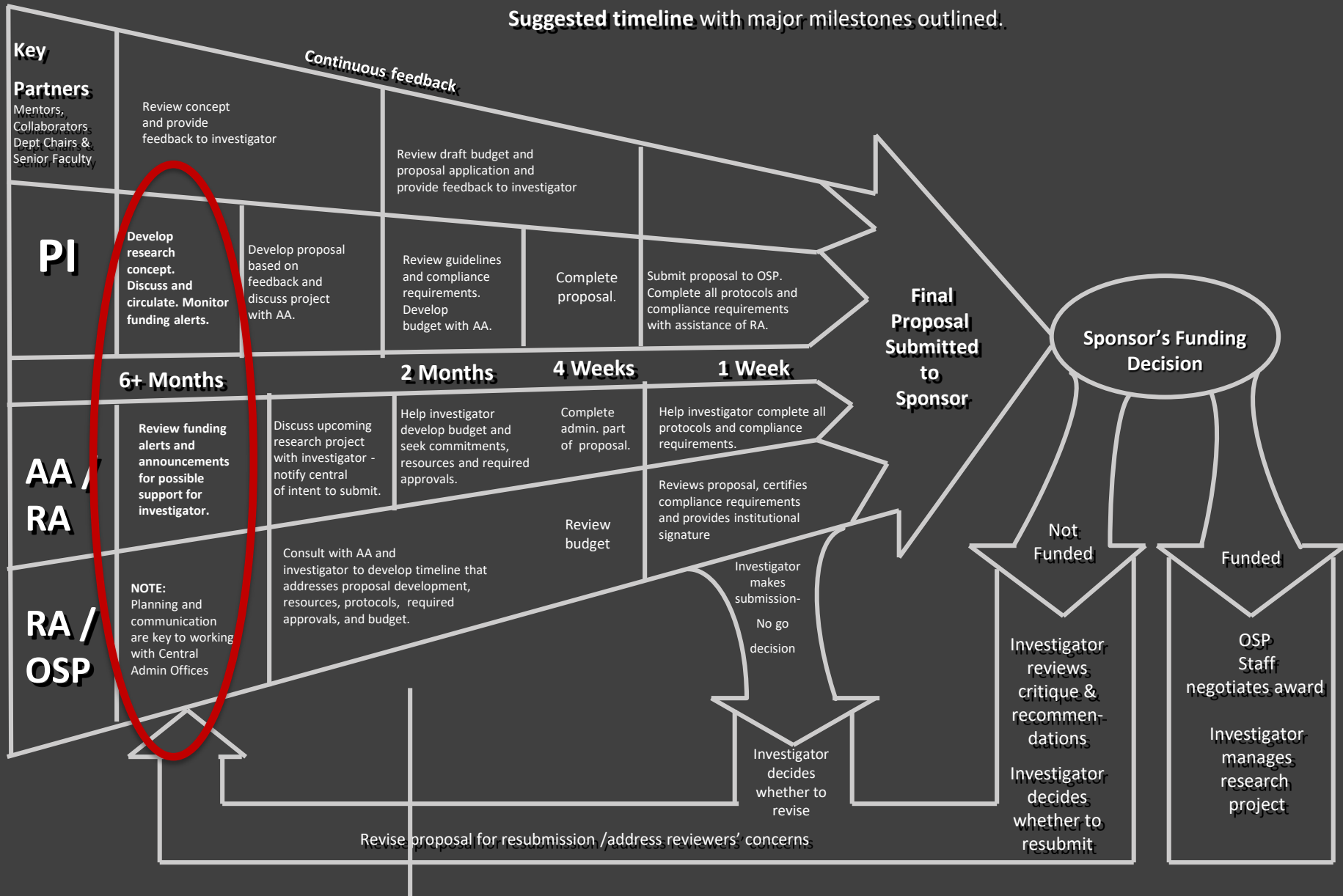
1. Submit Proposal
2. Revised Budget
3. Pre-Award Costs
4. Award
5. Submit Renewal/Competing-Continuation
6. Final Reports

Common Lifecycles of a Proposal/Award (NCURA)



RESEARCH PROPOSAL PREPARATION

Suggested timeline with major milestones outlined.



PI = Principal Investigator; AA = Department/Center/Institute/College Staff; RA = Research Administrator; OSP = Office of Sponsored Program

Adapted from 'The Funding Toolkit' presented at NCURA 51 by Susan Gramling (UNC) and Natalie Goodwin-Frank (UW)

Sponsored Projects – What are they?

Common Lifecycles of a
Proposal/Award (Reality)



Sponsored Projects – How do they get started?

Faculty Member – Principal Investigator (PI) has a research question they want to explore

Group of researchers have an ongoing project or research topic (can be internal or external partners)

University, College, or Community Initiative

Request for Proposals (RFP), Request for Applications (RFA), Request for a Letter of Intent or Interest

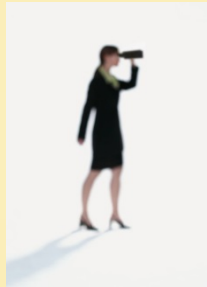
Sponsored Projects – How do they get started?

- Investigators may develop a **concept paper** that includes:
 - ♦ A definition of the problem or issue to be addressed, the background and significance of the research
 - ♦ Research goals/objectives, the questions
 - ♦ What is your approach to answering the question, methodology and proposed analyses, is it innovative
 - ♦ Potential impact of the research and how it will be evaluated
 - ♦ Qualifications of the research team
 - ♦ Preliminary budget
- Share with colleagues for feedback and refinement
- Send to potential funders – program officers, set up a time to talk to discuss the research idea – make sure there is a “fit”

Sponsored Projects – How do they get started?

Now that the project has been conceptualized, what is next....

- Will a collaborator strengthen the proposal?
- Is a statistical consultant needed?



- Search for funding opportunities
- Identify appropriate funding opportunities
- Review the proposal criteria for eligibility

Sponsored Projects – How do they get started?

[OSP Finding Funding webpage](#)

[OSP Links to Subscription Databases](#)

[Pivot SU Main Page](#)

[Foundation Center](#)

Sponsored Projects – How do they get started?

Sponsor funding announcements for **solicited** proposals:

- ♦ **RFP:**
Request for Proposal
- ♦ **RFQ:**
Request for Quotation
- ♦ **RFB:**
Request for Bid
- ♦ **BAA:**
Broad Agency Announcement

[Donaghue Foundation](#)

• Where announced:

- ♦ Grants.gov
- ♦ Sponsor websites and/or publications
- ♦ Federal Register
- ♦ Proprietary databases and newsletters

• Response required:

- ♦ Proposal, bid, or quote

• Award mechanism

- ♦ Contract
- ♦ Grant or cooperative agreement also possible under BAA

Sponsored Projects – How do they get started?

Sponsor funding announcements for **unsolicited** proposals:

- **PA:** Program Announcement
- **FOA:** Funding Opportunity Announcement (NIH)
- **RFA:** Request for Application

[NIH Grant Programs](#)

• Where announced:

- ♦ Grants.gov
- ♦ Sponsor websites and/or publications
- ♦ Federal Register
- ♦ Proprietary databases and newsletters

• Response required:

- ♦ Proposal or application

• Award mechanism

- ♦ Grant or cooperative agreement

Sponsored Projects – How do they get started?

At this stage:

- How do you interact with faculty?
- How do you interact with other units?
- Audience observations

Proposal Development

- Notification by faculty member of upcoming proposal submission
- Request information on specifications RFP/RFA/Funder Requirements for a thorough review
- Review with faculty member expectations of receipt of proposal and all the pieces (develop a template)
- Ask if the proposal involves other departments, schools, colleges, centers/institutes, or organizations
- If project involves collaborators, determine lead and what materials are needed (i.e. biosketches, statement of work,...)
- Budget development
- Use your calendar to set up reminders to talk to faculty member regarding deadlines and items needed
- Call or meet with your OSP Research Administrator

Proposal Development – Cont'd

And of course, proposal review for compliance ...

The “Font Police” - serving and identifying non-compliant formats, prior to proposal submission.



Proposal Development

At this stage:

- How do you interact with faculty?
- How do you interact with other units?
- Audience observations

Review, Endorsement and Submission

OSP REVIEW QUESTIONS (50,000 foot view):

- Can this work reasonably be performed at SU/by this department? Are there any stated risks/ compliance management factors?
- Is the investigator/project staffing reasonable and available to carry out the work?
 - Do investigators have effort available to perform the project?
 - Will investigators be able to hire student workers/ post-docs to perform the project in the stated period?
- Is there space available to carry out the work?
- Can we accept all of the terms of the award?
- Have all external collaborators officially confirmed their participation?

Review, Endorsement and Submission – Cont'd

- OSP Budget review, and/or OSP Budget formulation
 - Does it add up?
 - Are all costs included allowable? Reasonable? Allocable?
 - Have we been consistent in budgeting?
 - Are salaries correct? Have they been verified in SU's payroll?
 - If consultants are budgeted, are they truly consultants rather than employees, are rates proposed reasonable?
 - Are all rates (F&A, fringe benefits) correctly applied and calculated?
 - Are collaborators' efforts correctly budgeted?
 - Vendor?
 - Subawardee?
 - Are there any Cost Sharing requirements?

Review, Endorsement and Submission – Cont'd

- OSP Proposal Review for adherence to Sponsor's guidelines:
 - Page limitations
 - Formatting
 - Font size
 - Margins
 - Line spacing
 - Pagination scheme
 - Assembly (i.e. – attachments are properly ordered and all mandatory fields are completed)
 - Documents that must be included
 - Documents that should not be included



Review, Endorsement and Submission – Cont'd

- Signature/electronic submission of proposal certifies:
 - **SU** has the expertise and skill to reasonably carry out the proposed work.
 - Investigators/project staff named are available to carry out the work.
 - **SU** is in compliance with, and will adhere to, applicable regulations.
 - proposal submission indicates **SU's** acceptance of terms, or letter of exceptions to terms should be submitted.
 - Budget is sufficient to carry out work proposed and follows cost principles and **SU policies**.
 - **SU** has verified that other collaborating institutions have submitted ***authorized*** and binding commitments.

Review, Endorsement and Submission

At this stage:

- How do you interact with faculty?
- How do you interact with other units?
- Audience observations

Award Negotiation and Setup

- Just-in-time information
 - Other support
 - Revised budgets
 - Human subjects or Animal Subjects approvals, as applicable
- Review of award document for:
 - Changes to the proposal as submitted
 - Budget cuts
 - Reduce scope to match budget? Implied cost share?
 - Terms and conditions
 - Congruence with applicable regulations and institutional policy
 - Are we able to accept the terms and conditions?
 - Can we comply with all requirements?
- Business Practices
 - Do we have systems in place to comply?
 - What is the cost of compliance?

Award Negotiation and Setup – Cont'd

- Depending on the sponsoring agency, awards can be negotiated in days (e.g. – NSF, NIH, etc...), or possibly months (e.g. – Corporate Sponsors, some State entities, etc...)
- Regardless of duration of negotiation, PI's typically want to begin the work immediately; in some scenarios forward funding is used to facilitate the start of the work.
- OSP is charged with negotiating terms that are reasonable and appropriate for educational institutions.

Award Negotiation and Setup – Cont'd

- Once the negotiation is complete, OSP reviews the terms and conditions, and summarizes the key elements and deliverables into a 1-2 page document.
- OSP updates its database, InfoEd with key identifying factors for the award and transmits the award 'package' to OSA for Chartstring assignment
- OSA assigns a chartstring and enters key identifying factors into Peoplesoft financials.
- OSP transmits full award package out to PI's, budget managers, and all other necessary parties and let the research begin!!

Award Set-up

At this stage:

- How do you interact with faculty?
- How do you interact with other units?
- Audience observations

Managing the Award

What to expect when you're expecting...

- Get to know your PI and project staff
 - Be minimally conversant in the work of the sponsored project(s)
- Get to know the award(s)
 - Read the award brief and the CV's of your PI and key personnel for clues
- Put your OSP & OSA reps on speed dial
 - After you've read the award brief (sometimes more than once), call!
- Ensure staff doing work on awards have system access
 - Especially if you have folks doing payroll or other tasks
- Review OSP & OSA websites for info, forms, etc.
 - Once you understand the work of the award, know what University processes, procedures, policies and forms apply and the University areas that govern them

Managing the Award

Nah, you haven't had that baby yet....

Identify high risk areas such as export controls, international travel, marine adventures, etc.

- Network with OSP, OSA and other administrators

Learn how to minimize high risk issues

International travel travails, use a travel agent!

Learn why OSP & OSA won't approve certain things

Federal Regs, State Regs, University policies

Attend OSA-OSP Coffee Breaks & training sessions to network with fellow sponsored travelers

Ask who, what, where, how, when & why – a lot!!

Managing the Award

- Congratulations, you have a bouncing baby award! Now what?
 - ♦ Read the award packet thoroughly
 - ♦ Pay special attention to budget, staffing and terms & conditions
 - ♦ Register for Grants I and II training (private sessions available)
 - ♦ Consider what has to be obtained to begin work on the award, and if you know how to do it (purchase supplies, find GA's, etc.)
 - ♦ Prepare questions for your PI (hint: enlist OSP and OSA's help)
 - Staffing, tuition, purchasing equipment or supplies, research subjects, animal issues

Managing the Award – the Life of the Award

- Learn how your PI best absorbs information
- Reconcile expenses to budget monthly
- Review “burn rate” of expenditures with PI
- Contact OSP and OSA with questions prior to submitting paperwork
- Learn why the answer is “no” and how to communicate that to your PI
- Attend all possible OSA-OSP training sessions
- Ask questions! Pose problems! Stay a step ahead of your PI

Award Close-out

- The end is nigh, well, in about 90 days, so:
- Provide your PI with high level summary of remaining funds
- Canvas your PI and PD for any planned expenditures at least 60 days before award end
- If purchases of supplies or equipment are mentioned, follow up with OSA and OSP to ensure you are in compliance
- Learn about *possible* No Cost Extension option (just in case)
- Review sub-awards, consulting agreements, tuition charges, payroll charges, standing ID's, Purchase Reqs, PO's, etc. to ensure end dates don't go beyond project end dates
 - ♦ *As soon as the project brief is received I put the report dates and close out dates in the Outlook calendar with reminders. This gives the PI plenty of time to meet the deadlines.*
 - ♦ *When the close-out paperwork is received put the destroy documents date in the Outlook calendar also*

Award Close-out

At this stage:

- How do you interact with faculty?
- How do you interact with other units?
- Audience observations

Summary Points and Discussion

- Communication is key - strong relationships with faculty, your colleagues in your unit and across campus are essential for navigating the sponsored world
- Know who can help – you are not alone!
- What is your number one proposal development or management tip we have not covered?
- Other observations questions?

Helpful Partners in the Process

Click to link to webpages

- ♦ Office of Research <http://research.syr.edu/>
- ♦ Office of Sponsored Programs <http://osp.syr.edu/>
- ♦ Office of Sponsored Accounting
http://comptroller.syr.edu/comptroller/display.cfm?content_ID=%23%28%28%29%2B%0A
- ♦ Corporate and Foundation Relations
<http://www.syr.edu/partnerships/corporations/contact-corporate-relations.html>
<https://www.syr.edu/facultyandstaff/grants/foundation-relations-services.html>

Helpful Partners in the Process

Click to link to webpages

- ♦ Payroll
http://comptroller.syr.edu/comptroller/display.cfm?content_ID=%23%28%28--%0A
- ♦ Human Resources <http://humanresources.syr.edu/>
- ♦ Purchasing <http://purchasing.syr.edu/>
- ♦ Legal Office/Technology Transfer/Industrial Development
<http://techtransfer.syr.edu/>
- ♦ Office of Research Integrity and Protections/IRB/IACUC for human or animal subjects <http://orip.syr.edu/>
- ♦ Risk Management <http://riskmanagement.syr.edu/>