

# Navigating the CFAES Research Enterprise

## **PI, GDSU, or OSP?**

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**CFAES**



**THE OHIO STATE UNIVERSITY**

COLLEGE OF FOOD, AGRICULTURAL,  
AND ENVIRONMENTAL SCIENCES

## Session Objectives

- Learn about CFAES Sponsored Projects
- Learn about pre-award services
- Learn about post-award services
- Learn about Research Integrity and Compliance



# FY2017 SPONSORED PROJECTS

in the COLLEGE OF FOOD, AGRICULTURAL, AND ENVIRONMENTAL SCIENCES

## EXPENDITURES

Research expenditures – the funds spent on personnel, supplies and services – reflect the research activity of the college

**\$37M**

**877 active grants**

## SUBMISSIONS AND AWARDS

<u>PROPOSALS</u>	<u>AWARDS</u>
<b>488</b> proposals submitted	<b>351</b> awards in FY 2017
<b>\$154M</b> in funds requested	<b>\$44M</b> in awards

## INTELLECTUAL PROPERTY

**14** Patent Filings

**9** New Patents Issued

**33** Invention Disclosures

**58** New Inventors

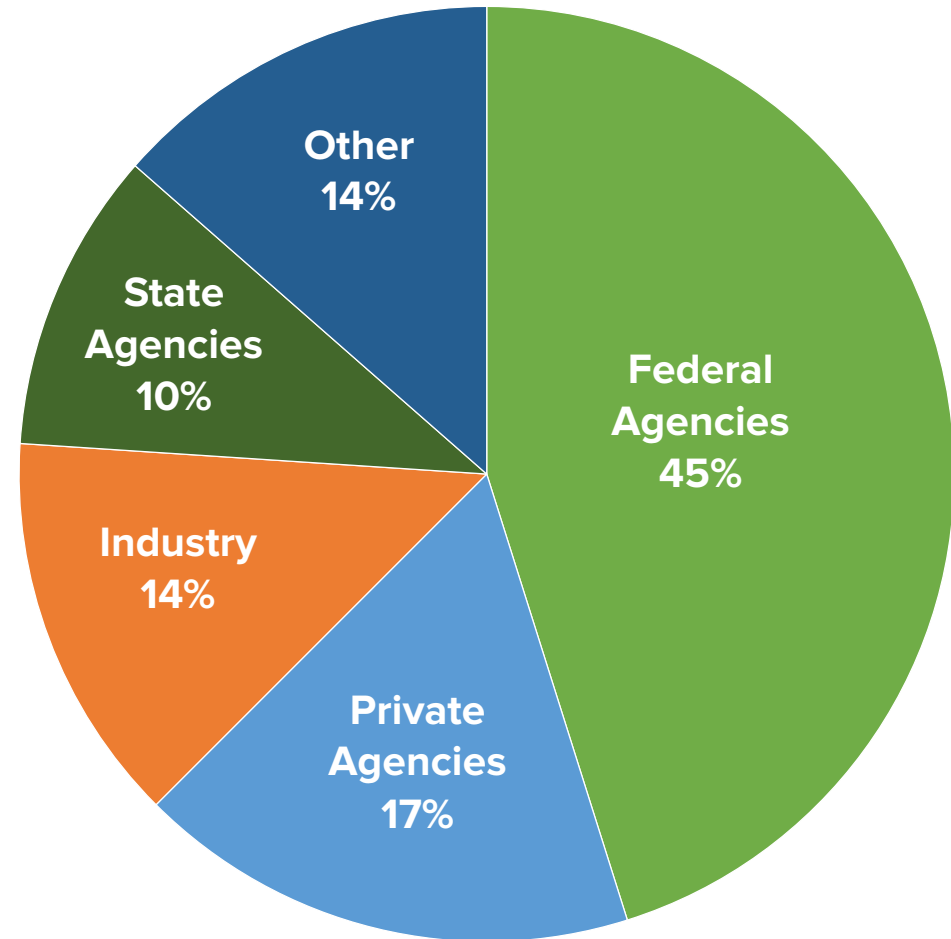
**\$173, 696** Total Licensing Revenue

# Funding Sources

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- \$13M Federal Agencies
- \$5M Private Agencies
- \$3.9M Industries
- \$3M State Agencies
- \$3.9M Other (Foundations/NGOs)

CFAES Funding FY 2017



# Pre-Award vs. Post Award

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## Pre-Award

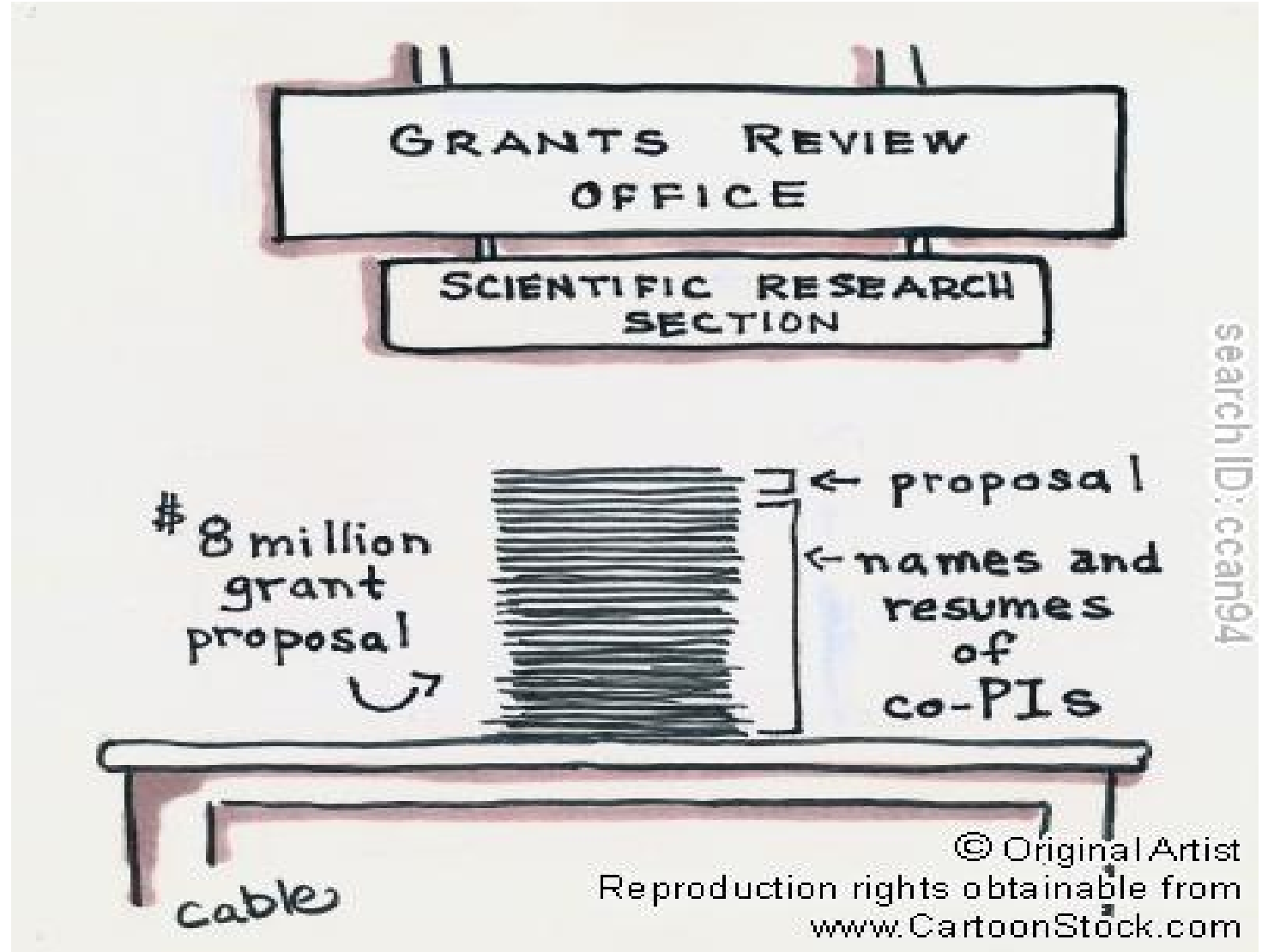
The pre-award phase represents the beginning of the grant lifecycle, which includes identifying opportunities, submitting and reviewing applications.

## Post-Award

The post award phase comprises a significant amount of work over the duration of the award dates, which includes implementing the grant, monitoring and reporting progress, and completing the closeout requirements.

# Pre-Award

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# Pre-award

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## Principal Investigator

- Prepares proposal
- Identifies funding opportunity, reviews guidelines and notifies SPO of intent to submit
- Develops project description
- Drafts budget and justification
- Prepares CV, other support and resources statements
- Provides information on collaborative efforts
- Completes electronic entry
- Has proposal reviewed by a peer and incorporates feedback into final proposal

# Pre-award

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## OSP Office of Grants and Contracts (OGC)

- Assists with interpretation of sponsor guidelines; contacting sponsors if necessary
- Review and approve proposal budgets and forms
- Provides standard institutional information about Ohio State, if required
- Communicate with collaborating institutions to provide/obtain authorization
- Electronic proposal assembly, review, and submission
- Ensure proposal is prepared in accordance with sponsor and university policies



# Pre-award

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## Grant Development Support Unit (GDSU)

Serves as a liaison between PI and OSP

### Assists with:

- Solicitation Requirements (RFP)
- Budget Preparation (including justifications)
- Sponsored Program Officer (SPO) Budget Approval
- Templates
- Online Electronic Submission (Cayuse, Fastlane, etc.)
- Editing and proofreading (time permitting)
- Collecting sub-award documentation
- Team Coordination

# Pre-Award - University Approvals

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- Summarizes administrative, budget, and compliance information for department chairs, center directors, and deans
- ePA-005 form must accompany every proposal
- Approved form with all appropriate signatures is the authorization for the Office of Sponsored Programs to submit proposal to sponsor

# Proposal Submission and Sponsor Review

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## OSP Office of Grants and Contracts

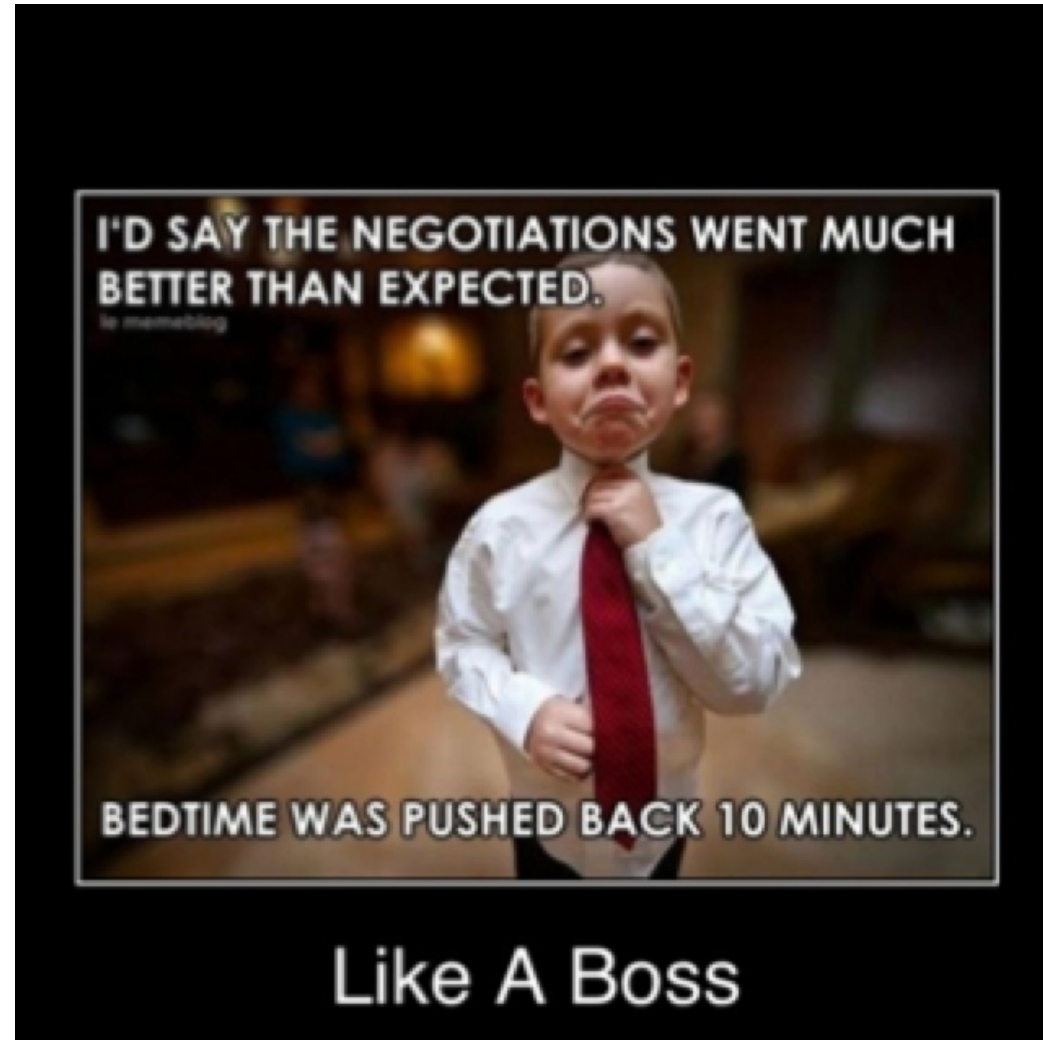
- Provides authorized institutional approval for submissions
- Signature on sponsor proposal forms
- Electronic submission of proposal on behalf of the PI

## Principal Investigator

- In collaboration with your SPO, may submit proposal electronically, by mail, or both
- Reviews proposal in sponsor's system to ensure complete/appropriate transmission

# Award Negotiation and Acceptance

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# Award Negotiation and Acceptance

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Sponsor issues award notice to OSU and SPO reviews contract/award terms and conditions and negotiates if needed.

The SPO must ensure that all awards contain language that agrees with the University's Preferred Positions including:

- **Publication restrictions**
- **Intellectual property and Confidentiality**
- **Indemnification/hold harmless**
- **Governing Law**
- Other issues: payment terms, reports/deliverables, export control and termination
- GDSU will assist with budget revisions

# Award Negotiation and Acceptance

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## OSP Office of Grants and Contracts

- Signs/accepts award on behalf of the institution
  - Requires PIs to sign Award Acceptance Agreement if signature is required
  - PI must confirm they have read and understand the terms and conditions of the award
- PIs are **not authorized** to sign agreements for the University
- Ensures PI has addressed appropriate research compliance requirements (protocols, COI, export control)
- Can establish preliminary projects if appropriate

# Award and Project Set-Up, Post-Award

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## OSP Office of Grants and Contracts

- Inputs award information into PeopleSoft Grants system to assign a project number
- Provides PI with new award/project information
- Meets with PI and staff to review project management
- Prepares subaward agreements with other institutions and consultant agreements with individuals (PI must submit a PR033 form to initiate a sub-award)

# Things to know about Preliminary Projects

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- Issued *before* award is received
- Sponsor confirms intent to fund
- Allows PI to appoint personnel, initiate purchases & begin work
- Dept/college commits to cover unpaid expenses
- The following must be in place to begin work:
  - **Conflict of Interest (COI) on file**
  - **Approved protocol**
  - **Signed OGC-005 on file**



# Post-Award – Project Monitoring

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## PI Responsibilities

- Plan/monitor expenses based on approved budget & SOW
- Make appropriate personnel appointments (salary / fringe / tuition)
- Cost Share or Matching must be **PLANNED** and **DOCUMENTED**
- Order specialized equipment, adhere to OSP Purchasing & Sponsor regulations
- Make travel arrangements well in advance
- Order research supplies, lab materials and analysis services
- Sub-awards: Submit PR033 to OSP, monitor, approve invoices/reports

# Post-Award – Project Monitoring

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## OSP Responsibilities

- Monitors project spending to ensure burn rate is on track
- Approves purchases when allowability is questioned, when expenses fall outside of project categories or when project is overrun/over committed
- Processes/approves or obtains sponsor approvals for budget revisions, no cost extensions or changes in scope of work
- Processes/approves subaward/consultant agreements & amendments
- Invoices sponsor; monitors submission of reports/deliverables, coordinates report submission when required (fiscal, patent, property, etc.)
- Coordinates closeout with Dept./PI

# Post-Award – Project Monitoring

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Federal eTools for Project Management:

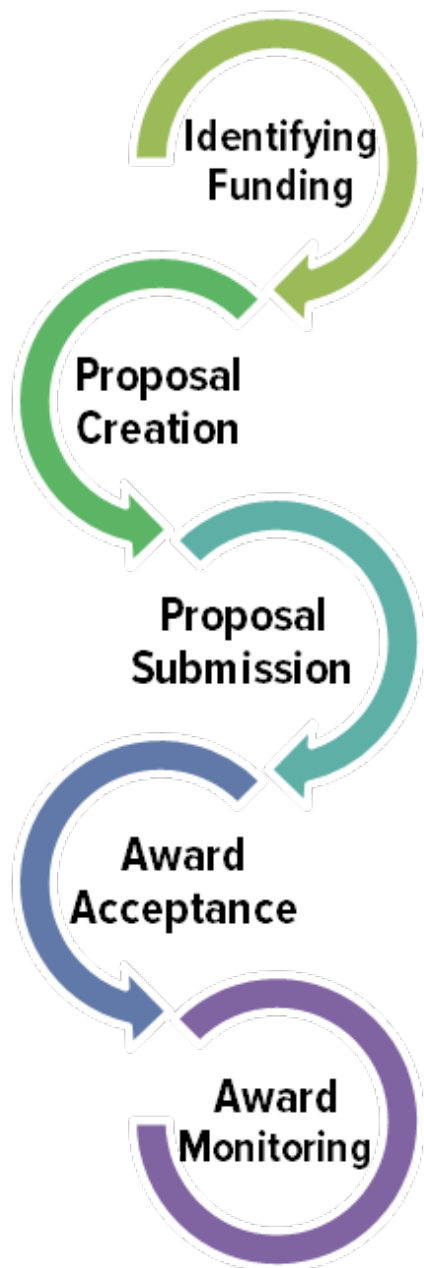
- [Grants.gov](https://www.grants.gov)
- [Fastlane](https://www.fastlane.gov/)
- [Research.gov](https://www.research.gov/)
- [eRA Commons](https://www.eRAcommons.org/)

# Post-Award – Project Monitoring

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OSP eTools for Project Management:

- Cayuse424 – always use instead of Grants.gov
- ePA-005
- PI Portal
  - eActivity (expenditure activity)
  - E-MEFS (month end snapshot of finances)
  - eCert (used to certify mandated effort)
  - PI Invoice Approval (PIs review and approve invoices)



Principal Investigator	Grant Development Support Unit	Office of Sponsored Programs
Identify funding source	Assist with finding funding and understanding RFP	Assist with finding funding and understanding RFP SPIN database
Prepare technical proposal Prepare and submit budget Submit appropriate research protocols	Assist with proposal development  Provide guidance on sponsor requirements  Review budget and justification draft	Provide guidance on sponsor requirements  Approve final budget  Verify research compliance protocols
Address sponsor inquiries after submission	Format and upload documents for submission  Submit final proposal to OSP	Submit final proposal to sponsor  Address sponsor inquiries after submission
Notify OSP if award is offered	Help with rebudgeting to sponsor	Negotiate award terms  Help with rebudgeting to sponsor
Responsible for financial and programmatic stewardship of award	No assigned role	Submit invoices to sponsor  Receive annual and final reports

# Research Integrity and Compliance

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GDSU manages the College process for:

- Financial Conflict of Interest
- Responsible Conduct of Research Training
- Other issues as identified

# Other Resources

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# Contact Information

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