

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



FY 2018 RESEARCH

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

\$41 M

897 active grants

SUBMISSIONS AND AWARDS

PROPOSALS	AWARDS
475 proposals submitted	478 awards in FY 2017
\$110M in funds requested	\$48M in awards

INTELLECTUAL PROPERTY

5 New Patents Issued
27 Invention Disclosures
40 New Inventors
\$217,087 Total Licensing Revenue

421 Faculty

489 Graduate Students

1,462 Staff

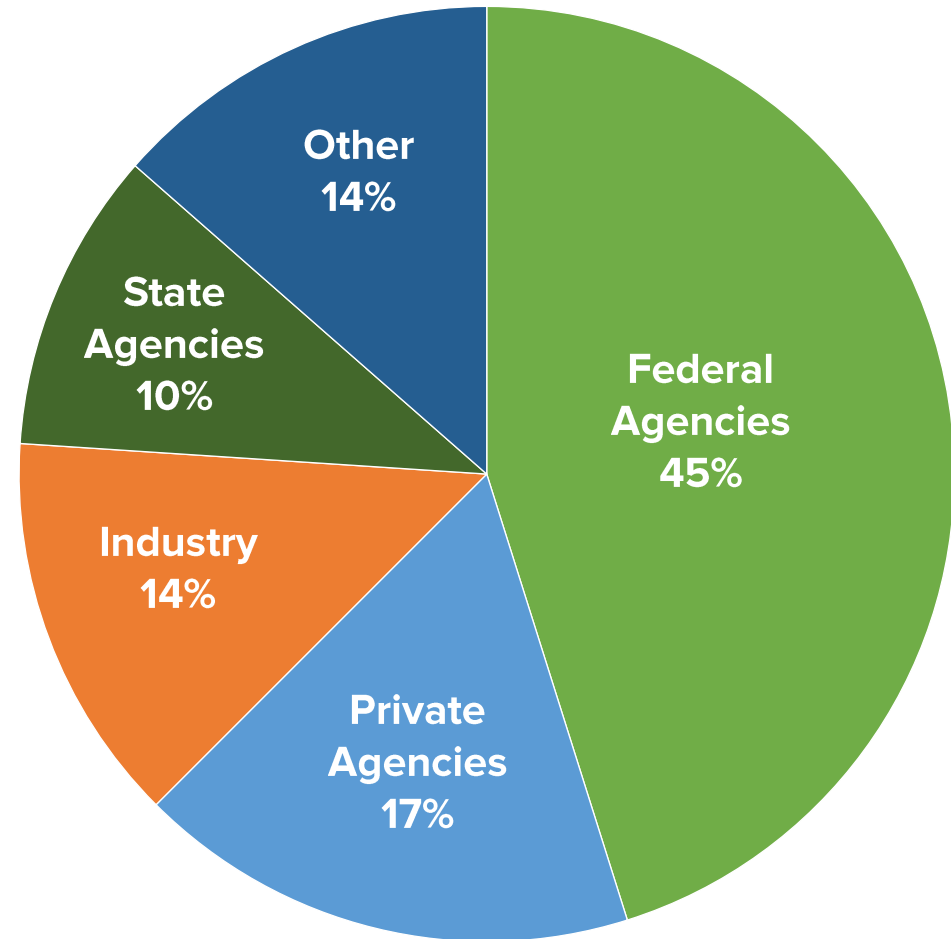
3,267 Undergraduate Students



Funding Sources

- \$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

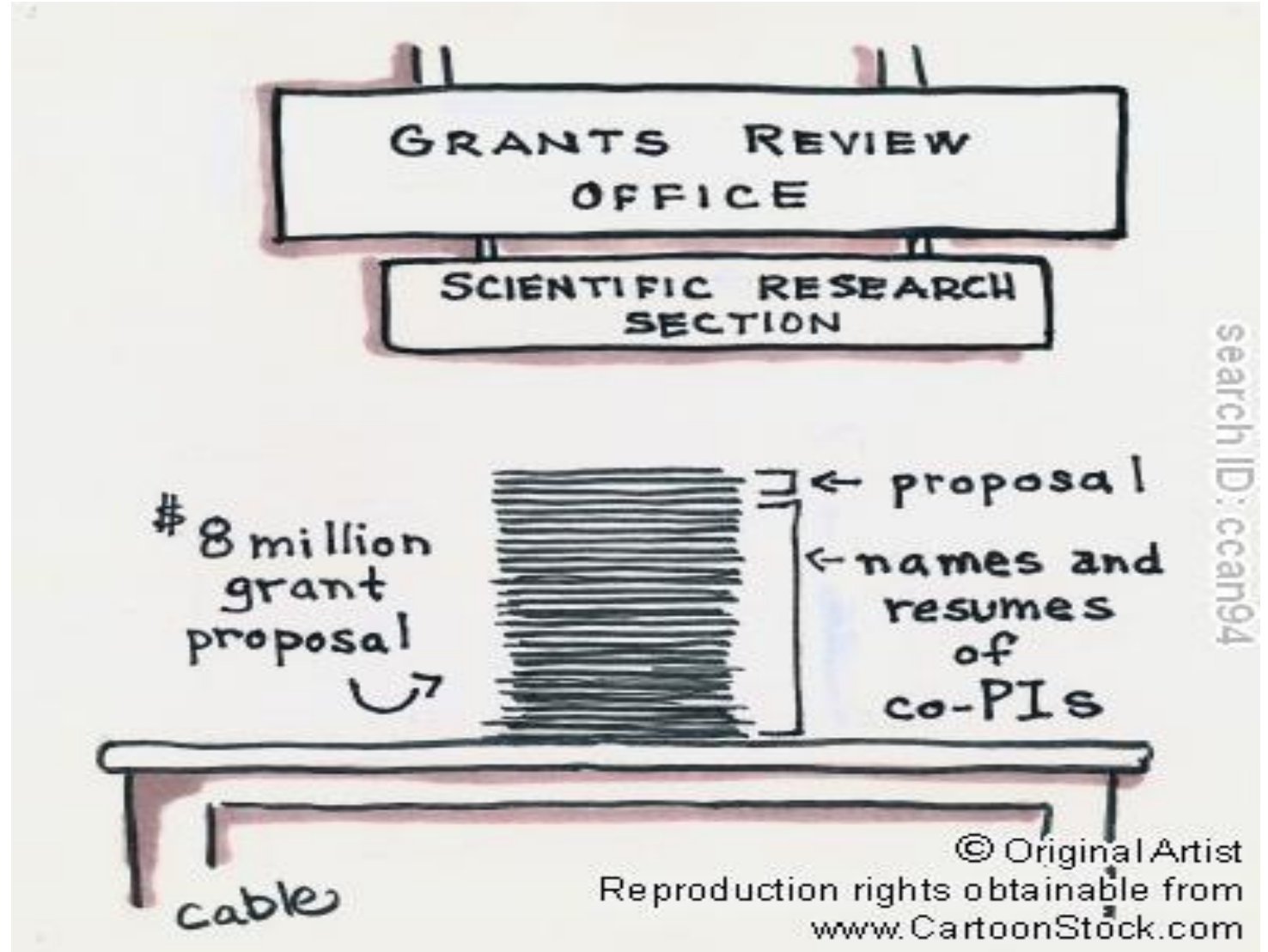
Pre-Award

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



Pre-award

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

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

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



- 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

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



Award Negotiation and Acceptance

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



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, RCR, export control)
- Can establish preliminary projects if appropriate

Award and Project Set-Up, Post-Award

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

- 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**
 - **Responsible Conduct of Research (RCR) completed**
 - **Approved protocol**
 - **Signed OGC-005 on file**

Post-Award – Project Monitoring

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

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

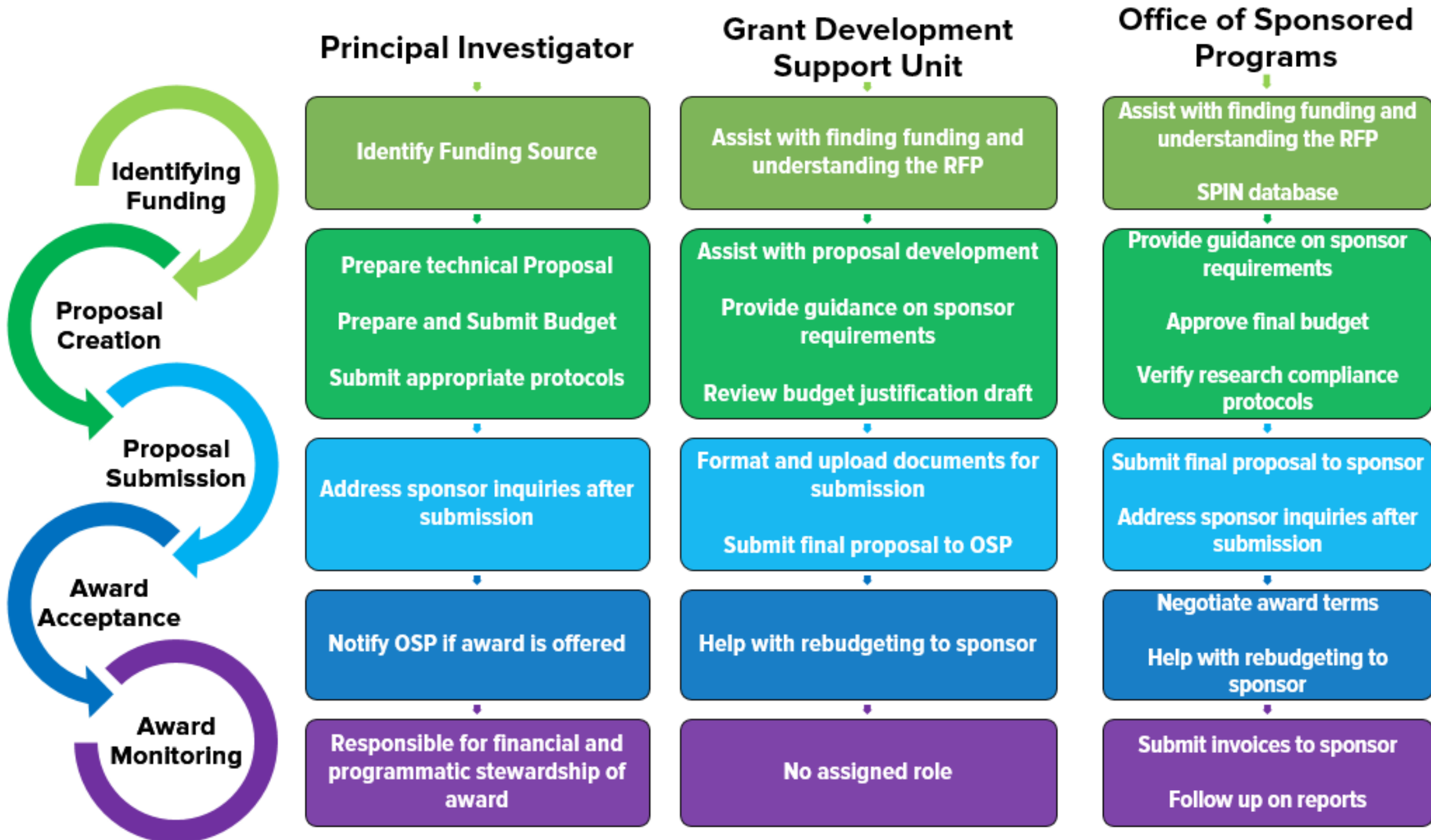
Federal eTools for Project Management:

- Grants.gov
- Fastlane
- Research.gov
- eRA Commons
- USDA REEport

Post-Award – Project Monitoring

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)



Research Integrity and Compliance

GDSU manages the College process for:

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

Contact Information

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