

Pre- and Post-Award Management

Grants, Contracts and Gifts

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April 19, 2018

CFAES

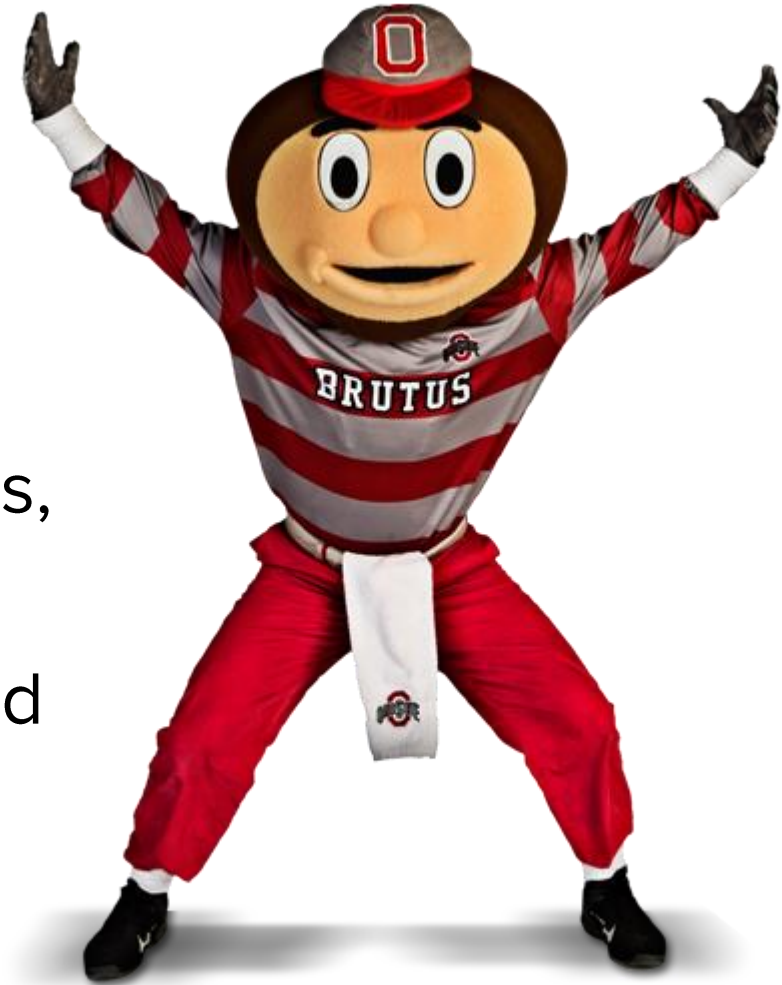


THE OHIO STATE UNIVERSITY

COLLEGE OF FOOD, AGRICULTURAL,
AND ENVIRONMENTAL SCIENCES

Session Objectives

- Learn about CFAES Sponsored Projects
- Learn the difference between gifts, grants and contracts
- Learn about CFAES Pre-award and Post-award services



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>
488 proposals submitted	351 awards in FY 2017
\$154M in funds requested	\$44M in awards

INTELLECTUAL PROPERTY

14 Patent Filings
9 New Patents Issued
33 Invention Disclosures
58 New Inventors
\$173, 696 Total Licensing Revenue



Extension Profile – FY 2017

SUBMISSIONS

91

AWARDS

71

EXPENDITURES

11,305,942



What is considered a sponsored project?

The overall indicator that an activity is a sponsored project is that the sponsor provides support for a specific activity, and the activity delivers something back to the sponsor.

- Research, teaching, training or service
- Can be supported by multiple sponsors
- Can be a Grant, Contract, Sub-Award, Cooperative Agreement, or Memorandum of Understanding (MOU)
- Epa-005 completed



What is a Grant?

- Funds to accomplish a public purpose
- Project is conceived and details defined by the investigator
- Sponsor is not significantly involved in conducting the project
- Investigator retains scientific freedom
- Results are not guaranteed



Extension projects

- **Cynthia Meyer**, *Development of living skills 2017*, Butler Co. Commissioners
- **Nicole Debose**, *Youth advocacy and leadership coalition of Cuyahoga County coordination and facilitation*, Cuyahoga Co. Commissioners
- **Susan Zies**, *Community based participatory research model in preventing overweight and obesity among 6th-8th grade children in low income racial/ethnic communities*, Kansas State University
- **Pat Bebo**, *Ohio SNAP-Ed*, Ohio Department of Job and Family Services
- **Travis West**, *NASA out of school learning network*, Paragon TEC
- **Theresa Ferrari**, *Ohio military kids*, OH National Guard
- **Mark Light**, *4-H NMP 7: Continuation and expansion of the Ohio 4-H mentoring program: 4-H tech wizards - year 7*, National 4-H Council



GIFT	GRANT	CONTRACT
Not tied to specific performance dates	Specific period of performance	Specific period of performance
Irrevocable	Revocable	Revocable
No obligations beyond routine stewardship reporting	Technical, financial and invention reports to sponsor	Technical, financial and invention reporting, as well as work product deliverables
Unrestricted	Terms & conditions with some flexibility for grantee	Terms & conditions -typically restrictive
Donation of cash or other tangible asset	Financial assistance	Purchase transaction
No scope of work	PI's scope of work	Sponsor's or PI's scope of work
Selection made at donor's sole discretion	Awarded based on peer review recommendation	Awarded based on low bid/project design selection process



How can we help?

Pre-Award Services
Post-Award Services



OFFICE FOR RESEARCH AND GRADUATE EDUCATION

Grant Development Support Unit

Our mission is to serve CFAES faculty researchers as they conceptualize, develop, write and submit their proposals to federal agencies and other entities to seek funding.

Our goal is to work across all disciplines to make the proposal development process as straightforward and streamlined as possible.

*The GDSU has
been successful in
obtaining more
than
\$87 million
in new extramural
funding since its
inception in
2010.*



Proposal Development (Lead PI must have an FAES appointment)

- Solicitation Requirements (RFP)
- Budget Preparation (including justifications)
- Sponsored Program Officer (SPO) Budget Approval
- Templates
- Funding Mechanism/Submission (Cayuse, Fastlane, etc.)
- Editing and proofreading (time permitting)
- Collecting subaward documentation



Faculty & Staff Training

- ePA-005 and Budget Basics
- Post Award Grant Contract Management, PI Portal Training
- Finding Funding/Grant Writing
- Data Management Plan (DMP) Tool Workshop
- SEEDS Funding
- Finding Funding



Sponsored Programs Onboarding

go.osu.edu/GDSUResearcherOnboarding

Orientation Packets

- ☑ Common Acronyms
- ☑ OSU Research Policies
- ☑ Facilities and Centers
- ☑ Responsible Research
- ☑ Conflicts of Interest
- ☑ Institutional Data Policies
- ☑ Buckeye Box





SEEDS: The CFAES Research Competitive Grants Program

- Increases the competitiveness of scientists in extramural programs
- Encourages partnerships with industry and other stakeholders as well as international collaborations
- Promotes the development of interdisciplinary teams
- Provides undergraduate students with research experience
- Allows graduate students to take part in the grant-writing and proposal review process



D.C. Days

- Increases faculty understanding of federal agency programs
- Encourages relationships between new faculty and national program leaders
- Educates new faculty on available funding through federal sponsors
- Provides resources that make faculty more competitive





First Tuesdays

u.osu.edu/FirstTuesdays

- Provides information on OSU's financial, physical and human resources that contribute to faculty success
- Introduces faculty to concepts in leadership and personal and professional development
- Facilitates communication and networking among faculty
- Introduces faculty to state, regional, national and international issues that can impact personal and programmatic outcomes



Research Compliance

- Responsible Conduct of Research Training (RCR)
 - Any eligible research staff
 - Sponsored activity (PI portal)
 - IRB protocol
- Annual Financial Conflict of Interest

Grant Development Support Unit

College of Food, Agricultural, and Environmental Sciences



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CFAES

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OSUE

New CITI RCR Training Requirement

The Office of Research (OR) is now requiring that all eligible research personnel (faculty, staff, and students) complete a new online Responsible Conduct of Research (RCR) course through the CITI website by July 30, 2018.

[Read more >](#)



The GDSU is a free service provided to all CFAES faculty and staff. We are available to assist you with proposal development and submission and/or answer grant related questions. We have offices on both the Wooster and Columbus campuses. Please stop by or contact us to see how we can help you submit a successful proposal!

NEWS

Research News (April 2018)

APR 3, 2018

The April 2018 edition of Research News, the GDSU monthly newsletter for grant writing tips, resources, and updates is online. Read it here.

Search

CAYUSE424

PI PORTAL

EPA-005

Social Media

f GDSU

SEEDS OARDC

grants.cfaes.ohio-state.edu

- Templates and Forms
- **Monthly Newsletter**
- Upcoming Training and Events
- **Funding Opportunities**
- SEEDS
- **ePA-005 guidance**
- Workshop Handouts



CFAES Finance Office

Post-Award Services

Angie LeMaster and Laura Keesor:

- Contracts needing signature – Legal Affairs
- Liaison to Legal Affairs, Office of Sponsored Programs and OSU Foundation (AKA Development/Advancement)
- Oversight for post-award activity on OSP projects for CFAES
- Release Time/Cost share on OSP projects for entire college
- F&A distribution (indirect costs)
- e-Cert and PET delinquent reminders
- Training-Columbus & Wooster



Misc. Contracts Needing Signature

Don't sign anything! Send to
Angie for review

Types of Contracts:

- **Office of Sponsored Programs** – all federal or fed. pass-thru, complex financial requirements, and those likely to be audited
 - OGC-005 - paper form to quickly get a project number
 - Direct charging as soon as project # is assigned to avoid cost transfers. Timeliness is important!
 - All expenses must be: Allowable, Allocable & Reasonable
- **OSU Foundation Grants**/sponsors requiring us to be 501(c)3 Charitable organization
 - Jason Phillips phillips.814@osu.edu
- **Service agreements:** reviewed by Legal Affairs, signed by VP Business & Finance
 - Generally 2-3 week turnaround for signature



Post-award Financial Oversight

- Internal Audit stated lack of oversight and consistency amongst our units/depts.
- Regularly review OSP grants for:
 - Burn rates - % expended
 - Cost share correctly reflected
 - Appropriate, timely expenditures
 - Compliance w/ terms & conditions, budget
 - Close-out preparation – If extension is needed, OGC-005 bridges funding until formal notice arrives
 - Audit readiness
- Quarterly meetings w/ unit fiscal officers to offer suggestions/help.
- We also review OSP grants for counties. We reach out if needed.



Release Time

Effort charged to a sponsored program as a result of being released from regular duties. Does not include internal awards such as Connect & Collaborate.

Charging Release Time:

- CFAES has RT/CS paper form which collects approval signatures
- Angie reviews for budget adherence, accuracy of computation and dates, provides college approval
- Laura Keesor enters HRA's for Educators/Faculty. County initiates HRA's for all others (support staff, program assistants, etc.)

Earning Release Time:

- 60% of Salary/F.B. charged to a grant is returned to the county org in Fund 550052 quarterly
- Distribution is behind. FY17 carryover + 4 quarters (April 2017 – March 2018) expected to be posted during April 2018
- Details of earnings (who, project number, time period) sent via email



Cost Share

Shared cost of a sponsored project activity. Can be cash match, in-kind, unrecovered F&A, or third party donation.

- Also known as Match: spend county funds to match sponsor \$\$\$. Use same chartfield but add OSP project #. Direct charge at time of purchase!
- Cost share expenditures must adhere to budget same as sponsor costs
- Allowable, allocable and reasonable
- Cost share effort should be reflected timely, at project setup if appropriate
- Inadequate cost share can disqualify us from receiving sponsor reimbursement

★ Don't commit to cost share unless absolutely **REQUIRED!**



F&A Costs and Effort Certification

Facilities & Administrative Costs (F&A)

- Generally expressed as % of Direct Costs intended to cover University Overhead costs such as buildings, land, utilities, office supplies/equipment, admin/executive staff. Aka: Indirect Costs
- If sponsor allows for F&A, college preference is that we include it in proposal budget.
- OSP does not keep F&A! 100% is returned to CFAES. 25% of earned F&A is returned to the county org. Distribution back to the county funds typically occurs in half-year intervals.
- Return of F&A has also been on hold. All of FY17 and Jul-Dec 2017 still to be distributed. Tentatively May-June 2018 for this posting.

Effort Certification (e-Certs and PET's)

- OSP sends out first notice to anyone needing to approve (e-mail with come from Kevin Olsen)
- Laura Keesor sends out monthly reminder emails to delinquent approvers, roughly 2 weeks after OSP
- Please do not just approve! Review for accuracy. Contact Laura with any questions/concerns



Training

Current Sessions being offered:

- PI Portal Training
- Post-Award Financial Management of Sponsored Programs

Venues

- Offered in Columbus and Wooster 2x year through GDSU
- Willing to customize new training topics based on need, audience
- Zoom, phone calls, travel to locations if enough people interested to be worthwhile



Contact Information

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Grants and Contracts Administrator

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Questions?