Assistance for Sponsored Activity in SPHHS

Pre- and Post-Award
Structure of the Research Office

- Joseph Hamill, Associate Dean for Research
- Linda Downs-Bembury, Grants Manager (Primarily Pre-award)
- Sharon Como, Research Business Manager Liaison (RBML) (Primarily Post-award)
- Laura Bergantino, Research Office Assistant
NIH Grants

- R01 - The Research Project (R01) grant is an award made to support a discrete, specified, circumscribed project to be performed by the named investigator(s) in an area representing the investigator's specific interest and competencies, based on the mission of the NIH.

- The NIH is comprised of Institutes and Centers that support specific areas of health-related research and almost all Institutes and Centers at the NIH fund R01 grants.

- Research grant applications are assigned to an Institute or Center based on receipt and referral guidelines, and many applications are assigned to multiple Institutes and Centers as interdisciplinary and multidisciplinary research is encouraged.
NIH Grants

- R03 –The R03 grant mechanism will support small research projects that can be carried out in a short period of time with limited resources.
- Pilot or feasibility studies, secondary analysis of existing data, small, self-contained research projects, development of research methodology, development of new research technology
- You may request a project period of up to two years and a budget for direct costs of up to two $25,000 modules or $50,000 per year.
- The R03 cannot be renewed
R15 – Academic Research Enhancement Award

The AREA program supports small-scale research projects in the biomedical and behavioral sciences conducted by faculty and students at educational institutions that have not been major recipients of NIH research grant funds.

- Project period is limited to 3 years.
- Direct costs are limited to $300,000 over the entire project period.
- Grants are renewable.
- Preliminary data are not required.
- There are two levels of eligibility for AREA grants: the eligibility of the institution and the eligibility of the principal investigator (PI).
• R21 - Exploratory/Developmental Research Grant Award
• This grant mechanism is intended to encourage exploratory/developmental research by providing support for the early and conceptual stages of project development.
• You may request a project period of up to two years
• The combined budget for direct costs for the two year project period may not exceed $275,000. No more than $200,000 may be requested in any single year.
• The R21 can not be renewed
• No preliminary data are required but may be included if available.
NIH Grants

- K-award – Career Development Award

- Institute and Center specific information

http://grants.nih.gov/training/careerdevelopmentawards.htm
NSF Grants

- NSF funds research and education in most fields of science and engineering.

- NSF does not normally support technical assistance, pilot plant efforts, research requiring security classification, the development of products for commercial marketing, or market research for a particular project or invention.

- General information about NSF programs may be found on the NSF website at
Where to begin?
Read the Proposal Guidelines

- Are you eligible to apply?
- Do you have to apply as a 501 c 3 (non-profit)?
- Is travel required to attend an annual meeting?
- Is there a minimum/maximum of effort required from the PI?
- Is cost share required?
- Is there a maximum direct cost allowed?
- Is there a limit on the indirect costs allowed?
Your Budget
What Makes a Proposed Cost Allowable?

- It must be reasonable.
- It must be allocable to the proposed project.
- It must be treated consistently in like circumstances.
- It conforms to sponsor policies and guidelines, the cost principles contained in the Office of Management and Budget (OMB) Uniform Guidance.
Costs that are *normally* not allowed on Federal grants

- Computers
- Software
- Secretarial Support
- Alcohol
- Food
Proposals are due to the Research Office (Linda and/or Sharon) **eight working days** before they are due to the sponsor. This includes all files that are needed for submission, including subcontract materials. This will allow for the requisite **three working days for Sharon and me** and the mandatory **five working days** for Grants & Contracts.
DON’T be late with your proposal
Budget Components

- Salaries
- Fringe benefits
- Equipment
- Travel
- Materials and other direct costs
- F&A (also referred to as facility and administrative costs; indirect costs; ICs; overhead)
Salaries

- **Senior Personnel & Other Personnel**
  - Graduate Student Calculator can be found at [http://www.umass.edu/research/training/graduate-student-fringe-and-curriculum-fee-calculator](http://www.umass.edu/research/training/graduate-student-fringe-and-curriculum-fee-calculator)
    - Current $/hr. = $22.76 (as of 9/1/14)
    - Each semester = 19 wks. (academic year = 38 wks.); summer = 14 wks.

- Effort detail must be in person months for Federal proposals.
  - This is shown on p. 1 of the GAMS (Grant Application Management System) budgets.
Fringe Benefits, Equipment & Travel

- Fringe Benefits are automatically calculated in GAMS.
- Equipment is defined as any single item costing $5,000 or more and having a life span of 1 year or more.
- Travel – foreign and domestic travel must be listed separately. Current on-campus mileage reimbursement rate is 56 cents/mile (as of 1/1/14). Per diem is $46/day except for “high rate cities”. 
Materials and Other Direct Costs

- The cost of materials should be project-specific, reasonable, based on actual (or historical) cost and itemized.

- Participant costs should be listed as # of participants x $A x B sessions = $C

- The cost of assays performed at another institution must have an available price list that is published and their rates must be auditable.
Collaborators, consultants and subcontractors
Collaborators, Consultants & Subcontracts

- **Collaborators** are individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (i.e. person months) to the project. These individuals are typically presented at "effort of zero person months" or "as needed." Individuals with measurable effort may not be listed as Other Significant Contributors (OSCs).

- **Consultants** are individuals or firms that are not using their institutional resources, hired on an hourly/daily basis to assist on a project. You need a signed letter from the individual or firm that states their rate of pay for the services to be provided on the project as well as the number of hrs./days they will be working on the project. (Can NOT be a University employee.)
Subcontracts are institutions or companies that have a major role in a project (they perform independent research). The institution’s resources are used for the project. The institution has their own budget and scope of work for the project. Rules and regulations “flow down” from the sponsor to the lead institution to the sub. You need a budget & budget justification; a scope of work (SOW); a letter of intent (to enter into a sub from Grants & contracts)(LOI); and sponsor forms – typically for NIH submissions that means a biosketch, facilities, face page and checklist.
PI, Co-PI & Co-I

- **PI** - The individual(s) designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award.

- **Co-PI** – The role of Co-PI is **NOT** used by NIH. For multiple PIs use the PD/PI role.

- **Co-I** - An individual involved with the PD/PI in the scientific development or execution of a project. A co-investigator typically devotes a specified percentage of time to the project and is considered senior/key personnel.
Multiple PD/PIs

- **Multiple PD/PI** - Multiple Program Director/Principal Investigator (multiple PD/PI) awards are an opportunity for multidisciplinary efforts and collaboration through a team of scientists under a single grant award. All PD/PIs share equally the authority and responsibility for leading and directing the project, intellectually and logistically. Each PD/PI is responsible and accountable to the applicant organization, including the submission of all required reports. The presence of more than one PD/PI on an application or award diminishes neither the responsibility nor the accountability of any individual PD/PI.
IF THE GUIDELINES DO NOT REQUEST COST SHARE – DON’T!!!!
Cost Share

- Two types of cost share – mandatory and voluntary.
  - **Mandatory** cost sharing is required by sponsor as a condition of obtaining an award. It must be included or a proposal will receive no consideration by the sponsor.
  - **Voluntary** Committed cost sharing represents resources offered by the university (documented and quantified in the proposal) when it is not a specific sponsor requirement. It becomes a binding commitment which the university must provide as part of the performance of the sponsored agreement.
Cost Share

- Cost sharing on federal projects must be from non-federal sources.
- Examples of cost sharing include contributions of personnel effort and associated fringe, equipment, tuition waivers, and the associated indirect cost. Please note that cost share of personnel effort cannot comprise of volunteer unpaid effort. Faculty on nine month appointments may not show as cost-share unpaid summer effort.
Cost Share

- If the indirect cost rate that the sponsor allows is lower than the University’s negotiated rate, the difference between the two can be used as cost share.

- An agreement to cost share, whether voluntary or mandatory, represents a commitment, subject to audit, of the Amherst campus to provide the stated services or assets during the performance of the project. Principal investigators are urged to discuss proposed cost-sharing arrangements well in advance of submission of the sponsored agreement proposal with their department chair and pre-award staff of the Office of Grant and Contract Administration (OGCA).
The minimum effort to a federally sponsored research grant can be no less than 1% (academic time) or 0.09 mos. It may occur as summer effort but SHOULD reflect when the actual effort is being performed.

Minimum effort is NOT required on grants from non-Federal sources.
NIH and Massachusetts definitions of “child”

- **Child** defined in the NIH Policy for Inclusion of Children in Research as:
  An individual under the age of 21

- **Child** defined in 46.402 (Code of Federal Regulations) as:
  An individual who has not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law of the jurisdiction in which the research will be conducted.
After you’ve submitted the proposal

- **Forms for OGCA**
  - 1 week after submitting first proposal
  - • Drug Free Workplace Certification
  - • Participation Agreement

- **JIT (Just in Time)**
  - After sponsor’s review
  - • IRB/IACUC
  - • Other/Current Support
  - • CITI Certs

- **Email announcing award**
  - After final sponsor’s review
  - • MOU
  - • IRB/IACUC
  - • Pre-estab
Forms you must send to OGCA prior to award

Shortly after submitting your **first** proposal, OGCA will ask you to sign:

- Drug Free Work Place Certification
- Participation Agreement
Forms you must send to OGCA prior to award

Just in Time Information**

- IRB approval date
- CITI Training Certificates for key personnel
- Other/Current Support for key personnel
- IACUC approval date
- Sponsor/project specific requests

**PIs may have only two weeks to have it approved by OGCA and submitted to the sponsor
Site Visit

Contact the SPHHS Research Office as soon as you are contacted about an upcoming site visit.

OGCA and Accounting must be present at the site visit.
Congratulations! You just heard you will be receiving an award.

Set up a Pre-award/Pre-estab Account?

- Pre-establishment Agreement Form
- Memorandum of Understanding
- IRB/IACUC must be approved if subjects/animals are to be used at the beginning of the project
Notice of Award: PIAA, IRB/IACUC MOU

Monitor Expenses
- Rebudget
- Subcontract spending
- Prior approval

Progress Report

Monitor Expenses
- Rebudget
- Subcontract spending
- Prior approval

Progress Report/Final Report

eCert each October
Formal notification of award and subcontract execution

Formal Notice of Award

• Effective Dates
• Amount
• Terms and Conditions

OGCA is responsible for all contract and subcontract negotiations.
Setting up the award

Sign and return to OGCA:
- Principal Investigator Award Agreement (PIAA)
- MOU (if not done for pre-estab)
Once an award has been set up

PI actions with SPHHS staff:
- Review the budget and budget justification
- Work with Business Office to begin HR process
- Subcontract purchase orders
Monitoring expenses

Follow Cost Accounting Standards (CAS):

Make certain the expenses are:

- **Allowable**-follows sponsor and University guidelines
- **Allocable**-costs charged to a project in proportion to the amount used for that project
- **Reasonable**-necessary for the project
Monitoring expenses -continued

Monitor Subcontracts—is the amount charged in line with the work being performed?
Review for overdrafts
Ecert (electronic effort certification)
Spending projections

**Accounting office will submit all invoices on a monthly basis based on expenses that have been posted in Peoplesoft.**
Reports and requests for changes

Progress Reports*
Ecert Reports (electronic effort certification)
Final Reports*
Competitive and Non-competitive renewal requests
Carry-forward requests
Prior approval requests-actions that require sponsor approval
  • Rebudget
  • Change in performance sites
  • Change in key personnel
  • Change in the scope of work
  • No-cost extensions

*Accounting Office must submit all financial reports.
Other tasks the Research Office can help you with

- Summit Training
- GAMS training
- Post-award Training
- Preparation for audit
- Transfer of accounts
- Effort Certification (eCert)
- Act as a liaison with OGCA and Accounting*

*OGCA must be the official contact with sponsors for all administrative questions.
Other UMass Resources For Post-Award Management:

Research and Engagement Website
http://www.umass.edu/research/

“I’m a PI, Now What”
Questions?