RSP 101:

Introduction to Research and Sponsored Programs

Policies and Procedures

Marcus W. Shute, P.E., Ph.D.

mwshute@cau.edu, x6990

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Introduction

- Intro
  - PI Handbook
  - CAU Research web portal
- Review of RSP policies and procedures
- Pre-award – C. E. Johnson
- Post-award – T. Young, G.K. Williams
- Research Compliance – G. Bolden
RSP Academy

- **RSP 101** – required in order to sponsored programs
- **RSP 200 level courses**
  - Funding opportunities, pre-award topics & post award topics
- **RSP 300 level courses**
  - Fiscal & research compliance topics
- **RSP 400 level courses**
  - Intellectual property, technology transfer & other special topics
Purpose

- Review University and federal guidelines, policies, and procedures for research administration and management

- Document effort to provide education and training for research compliance-related issues
Sponsored Program Activities

- All (local, state, federal, corporate, foundations) extramurally funded sponsored program activities will be administered through RSP.

- Key point: extramurally funded activities that include some expectation (implied or stated) from the sponsor for performance, deliverable(s), service, or outcome(s).

- Sponsored program activities may support research, instruction or public service.

- This does not include philanthropic awards which will be managed by UR&IA.
Sponsored Program Activities

- Sponsored program activities have one or more of the following characteristics:
  - External source of funding
  - Expectation (implied or specifically stated) of performance, deliverable or outcome by the sponsor
  - The proposed project binds the University to a specific description of the activity/work to be conducted sometimes known as a Scope of Work
  - Line item budget is involved
  - External reporting requirement, i.e. technical report, progress report, annual report, final report, etc., excluding stewardship report on gifts (philanthropic awards)
  - Inclusion or allowance of Indirect Costs/Facilities and Administrative (F&A) Costs
Sponsored Program Activities

- Sponsored program activities have one or more of the following characteristics (cont’):
  - A financial report is required, invoices are required for cost reimbursement, and the budget/performance is subject to audit
  - Percentage of faculty time on project, (may or may not be compensated by the sponsor)
  - Defined time period for the work to be conducted
  - All government funds, exclusive of financial aid
  - All corporate research contracts, subcontracts and/or agreements
  - Use of University resources – equipment, space, students, etc. - mandate processing through RSP to determine classification
Other Points

- Effort certification must be completed in timely manner by all persons paid from extramural funds
- Conflict of Interest
- Grant activities may be suspended for non-compliance
- All proposals and reports must be submitted via RSP five (5) days before external deadline
- Please keep RSP in the loop!
  - Change in status of personnel involved in sponsored programs, extended leaves, etc.
Current Activities

- Fully functional ‘Research’ web portal for CAU Research enterprise
  - [www.cau.edu/research](http://www.cau.edu/research) and research@cau.edu
  - Web presence to market CAU research expertise; engaged in pilot study with GRA to develop expertise database
  - Repository for sponsored research-related forms, policies and procedures

- RSP Advisory Council
- Development of PI Handbook
- Revisit recovered F&A allocation plan
- Revised IP Policy; enhance IP portfolio and tech xfer effort
Conflict of Interest Disclosure

- Basis - OMB Circular A-110
- University Policy – annually each September
- Procedure
- Agency Requirements
  - NIH
  - NSF
Pre-Award/Proposal Development

Carol E. Johnson

cjohnson@cau.edu, x 6985
Proposal Review, Approval, and Submission

- All PIs are required to complete the Proposal Routing and Approval form prior to submission to RSP (see handout) (available on www.cau.edu/research/)

- All proposals and reports (interim, annual, technical and final reports, letters of intent, etc.) must be submitted through RSP
Proposal Review, Approval, and Submission

Prior to submission and institutional approval, all proposals should be reviewed by the PI’s department head/director, dean and a Proposal Review Panel (PRP).
Proposal Review, Approval, and Submission

- Review by Department Head/Director

Approvals (please read before signing)
Signature of the department chair/director certifies review of the proposal for merit and commitment of faculty/staff effort, including release time if included in proposal.
Proposal Review Panel

It is advised that the PI selects one or more individuals (internal or external) to review their proposal for quality control. This is not a requirement.
Proposal Review, Approval, and Submission (cont.’)

- Review by Dean

Approvals (please read before signing)

Signature of the dean certifies review of the proposal for merit and commitment of faculty/staff effort, including release time if included in proposal. Additionally, if cash match or special circumstances (leveraging, major equipment purchases, etc.) are involved, the Dean is to forward all documentations necessary for the Office of Financial Planning & Evaluation to conduct, review and provide approval.
Proposal Review, Approval, and Submission

- Research Compliance Committee Review

- Review by RSP Staff
  - Proposals must be submitted 5 days before agency deadline!!

- University Authorization

- Submission to Agency

- Electronic Submission
Proposal Content

- Overview
- Two Key Points to Remember:
  - Follow the agency’s instructions for format, content, and procedures
  - As you are planning and writing your proposal, keep in mind the agency’s evaluation criteria
- Proposal Development Groups: centered around research themes; led by experienced PIs
Proposal Content

- Cover Sheet
- Certification Pages
- Table of Contents
- Project Summary
Proposal Content

- Project Description
- Evaluation
- References
- Biographical Sketches
Proposal Content

● Budget Development

- Direct Cost: Direct costs usually include salaries and wages, fringe benefits, equipment, travel, participant support, and other direct costs.

- F&A Cost: F&A (indirect) costs are those that are incurred in conducting research and sponsored program activity at an educational institution. The DHHS and ONR negotiated and approved indirect cost rates are based on modified total direct costs (MTDC) which includes salaries and wages, fringe benefits, materials and supplies, services, travel, and sub grants and subcontracts up to $25,000 of each sub grant or subcontract. (visit www.cau.edu/research)
Clark Atlanta University Fact Sheet

- Tax Identification/EIN:
- Contract Establishment Code:
- Commercial and Government Entity (CAGE):
- FICE:
- DUNS:
- Facility Contract:

- Contact RSP
- (CEC): 06-633-527E
- OMVF5
- 001559
- 06-5325177
- 95340
Institutional Animal Care and Use Committee for the Atlanta University Consortium:

Federalwide Assurance (FWA) for the Protection of Human Subjects for Institutions Within the United States:

Congressional District:

http://web.msm.edu/ord/RegulatoryOffices.htm; Office: 404/752-1722; A3944-01 (approval date: 09.20.02); AAALAC accreditation date 07.18.08

FWA00008920 (approved 06.13.08 to 06.13.11).

5th District, Georgia
## FY09 F&A Rates

F&A Rate – New Submittals after 01 Jul 2008

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Cognizant Agency: Department of the Navy  
Office of Naval Research  Representative: Linda B. Shipp; (703) 696-8559

Pred.=Predetermined  Prov.=Provisional
### FY08 F&A Rates

F&A Rate – Probable Rate on Currently Funded Awards

<table>
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<th>Type</th>
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Cognizant Agency: Department of Health and Human Services  
HHS Representative: Richard Gist; (202) 401-2808  
Pred.=Predetermined  Prov.=Provisional
Grants.gov

- Grants.gov was established as a governmental resource to the public.
- Grants.gov is a central storehouse for information on over 1,000 grant programs in access of $400 billion in annual awards.
- In order to view, complete and submit an application package, you will need to download both PureEdge Viewer and the compatible version of Adobe Reader* software.
Grants.gov

- All discretionary grants offered by 26 participating federal grant-making agencies can be found on Grants.gov.
- Clark Atlanta University is registered with Grants.gov
- Additional training sessions will be provided
- http://www.grants.gov/
Post-Award/Grants Administration

Tanya Young

tyoung@cau.edu, x 6807
Office of Management and Budget (OMB) Circulars

- **A-21**
  - establishes principles for determining costs applicable to grants, contracts, and cooperative agreements with educational institutions.

- **A-110**
  - sets forth standards for obtaining consistency and uniformity among Federal agencies in the administration of grants and agreements with institutions of higher education.

- **A-133**
  - sets forth standards for obtaining consistency and uniformity among Federal agencies for the audit of States, Local Governments, and non-profit organizations expending Federal awards.
Post-Award

- Introduction to Grant and Contract Administration
  - Pre-authorized proposal
- Award Notification/Post Award Conference
  - PI Review of award letter
  - Negotiations (new awards)
    - Potential areas of negotiations
Post-Award

- Post Award Conference (upon formal acceptance)
  - Duration
  - Terms and conditions
  - Dollar amount
  - Scope of work
  - Reporting requirements
Post-Award

- Expending Funds
  - No spending until award received & acct established
  - Pre-approval required for pre-award spending
  - Budget revisions
Post-Award

- Competitive Bidding
- Sole Source Procurement
- Modification of Scope of Work (after project initiation)
- Sub Award Monitoring
  - Subcontracts will be the preferred mechanism for sub awards
  - All terms and conditions of the prime award/contract will flow-down to sub awards
- Time and Effort Certification
Post-Award/Grants Administration

G. Keith Williams
Grants & Contracts Acctg
gkwilliams@cau.edu, x 6389
Post-Award

- Advance Expenditures Authorization/Pre-Award Cost Approval Policy for Externally Funded Projects
  - Used when award is pending per sponsor but award documents are delayed beyond start date of project
  - Requires approval of VP-RSP and VP-Finance to establish advance account; typical duration of acct. is 2 months
  - Subject to same guidelines as regular award.
Time and Effort

- Federal agencies, as well as the University, require documented accountability of personnel supported partially or totally by federal funds (OMB Circular No. A – 21).

- All Federal agencies that sponsor research and development, training, and other work require that Time and Effort Certification Forms be submitted on a regular and timely basis.
Time and Effort

Certification Process

- Effort certification forms will be distributed each term and serve as the University’s official document for certifying time and effort for all employees paid via federally funded grants.

- The employee should double check the certification form as well as timesheets to ensure that the pre-printed information (account number with corresponding percent effort) is correct before signing for a given time period.
Time and Effort

- Certification Process, cont’d
  - Corrections or comments should be noted on the effort certification form
  - Employee should sign the form certifying the effort for that period.
  - It is also permissible that someone who has first-hand knowledge of an employee’s work effort can certify the effort.
Time and Effort

- A Change in Payroll Distribution Form must also be completed to ensure that the corrections are made within 30 days
- Change in Payroll Distribution
- Cost Transfers
- Grants & Contracts Accounting general processes
Research Compliance

Georgianna D. Bolden, Ed.D.

gbolden@cau.edu, x 6979
Research Compliance

- IRB/HUMAN SUBJECTS COMMITTEE, Dr. Paul Musey, Chair
- BIOSAFETY COMMITTEE, Dr. James Bu, Chair
- RESPONSIBLE CONDUCT of RESEARCH/RESEARCH INTEGRITY COMMITTEE, Dr. Robert Waymer, Chair
- INSTITUTIONAL CARE AND ANIMAL USE COMMITTEE, Dr. Valerie Odero-Marah, CAU rep to Atlanta University Consortium Animal Use Comm., www msm.edu
Human Subjects

- The University adheres to 45 CFR 46, Protection of Human Subjects, as amended by federal policy, effective August 19, 1991.

- These Federal regulations require the University to submit to the funding agency a statement of specific assurance for each research proposal involving human subjects.

- All PIs and personnel involved in research using human subjects must complete a mandatory training course, Collaborative Institutional Training Initiative (CITI), (located at https://www.citiprogram.org) and submit the certificate of completion with the protocol.

- Protocols involving human subjects must be approved annually.
Biosafety Committee

To be in full compliance with local, state, and Federal regulations, CAU seeks to provide a research environment free from recognized biohazards and comply with the following agencies:

- Occupational Safety and Health Administration (OSHA)
- Environmental Protection Agency (EPA)
- GA Occupational Safety and Health Administration

Includes recombinant DNA and radiation safety issues
Responsible Conduct of Research/Research Integrity

- To ensure research at the University is conducted effectively, objectively and without improper influence or the appearance of improper influence, the Responsible Conduct of Research/Research Integrity Committee (RCR) was established.

- RCR Policy on ‘Research Compliance’ section of website
The Committee has oversight of all inquiries and investigations associated with allegations of scientific misconduct.

- Research Fraud
- Falsification
- Plagiarism
- Fabrication
- Other Serious Deviations
Animal Care & Use


● The standards contained in the PHS/NIH Guide for the Care and Use of Laboratory Animals govern the use of animals in research and teaching.

● Institutional Animal Care and Use Committee for Atlanta University Consortium, www.msm.edu, provides oversight for CAU research using animals.