Office of Sponsored Projects: Who, What, & Why

• Office of Sponsored Projects Administration (OSPA)

• Authorized Institutional Official or Organizational Representative (AOR)
  – Designated official who can obligate the university by authorizing submission of proposals & signing funding agreements/contracts
  – SIUCs AOR is John Koropchak
Office of Sponsored Projects: Who, What, & Why (cont.)

- Centralized office responsible for knowledge of federal and state funding guidelines and cost principles, & how those interact with university policies.
- Per Chancellor and Board of Trustees, all external grants (except fellowships paid directly to PI) must receive institutional approval (through OSPA).
## Contacts at OSPA

<table>
<thead>
<tr>
<th>College/Area</th>
<th>Research Project Specialist</th>
</tr>
</thead>
<tbody>
<tr>
<td>Affirmative Action, Applied Science, Ctr. For Rural Health, Education, Liberal Arts, Library Affairs, Mass Communication &amp; Media Arts</td>
<td>Meg Martin, <a href="mailto:mzmartin@siu.edu">mzmartin@siu.edu</a>, 453-4538, Woody C-213</td>
</tr>
<tr>
<td>Agricultural Sciences, Business, Continuing Education, Graduate School, Law, Medicine, Student Development</td>
<td>Joel Fritzler, <a href="mailto:jcfritz@siu.edu">jcfritz@siu.edu</a>, 453-4530, Woody C-215</td>
</tr>
<tr>
<td>Engineering</td>
<td>Steve Banker, <a href="mailto:sbanker@siu.edu">sbanker@siu.edu</a>, 453-4542, Woody C-212</td>
</tr>
<tr>
<td>Science, Fisheries, Wildlife</td>
<td>Ashley Matzenbacher, <a href="mailto:acohoon@siu.edu">acohoon@siu.edu</a>, 453-4542, Woody C-216</td>
</tr>
<tr>
<td>Post-Award Matters for all Units</td>
<td>Sonjie Schwartz, <a href="mailto:sonjie@siu.edu">sonjie@siu.edu</a>, 453-4541, Woody C-217</td>
</tr>
</tbody>
</table>
Technology Transfer Program

• The Technology Transfer Program helps inventors to assess the commercial feasibility of University inventions and intellectual property (IP), file patent applications as appropriate, and develop strategies to market and license the technologies to industry.
Tech Transfer Contacts

• Jeff Myers, Senior Technology Transfer Specialist, 453-4511, jmyers@siu.edu

• Amy McMorrow Hunter, Technology Transfer Specialist, 453-4556, amcmmorro@siu.edu
Grant and Contract Accounting

• Grant and Contract Accounting (GCA) is responsible for the financial aspects of externally funded grants and contracts:
  – Establishing new accounts for funded projects
  – Provide assistance to fiscal officers
  – Preparing financial reports required by funding agencies
Grant and Contract Accounting (cont.)

- Reviewing and approving financial documents
- Accumulating cost share information, when required
- Assisting with grant close out
- Review and approve requests for budget revisions to funded projects
Grant and Contract Accounting (cont.)

- GCA offers training in the financial administration of sponsored projects.
  - [http://www.siuc.edu/~as/TRAINING.html](http://www.siuc.edu/~as/TRAINING.html)
# Contacts at GCA

<table>
<thead>
<tr>
<th>College/Responsibilities</th>
<th>Assignee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administration of Financial &amp; Compliance Aspects of Grants &amp; Contracts</td>
<td>Jeff Tally, Manager, 536-2610, <a href="mailto:jtally@siu.edu">jtally@siu.edu</a></td>
</tr>
<tr>
<td>Establishment of New Accounts and Cost Share Reporting</td>
<td>Shirley Castle, Supervisor/Accountant, 536-2646, <a href="mailto:scastle@siu.edu">scastle@siu.edu</a></td>
</tr>
<tr>
<td>Continuing Ed, MCMA, COS</td>
<td>Anita Eckhardt, 536-2615, <a href="mailto:anitae@siu.edu">anitae@siu.edu</a></td>
</tr>
<tr>
<td>CASA, COLA, CWRL, SOM</td>
<td>Lynn Harbert, 536-2641, <a href="mailto:lharbert@siu.edu">lharbert@siu.edu</a></td>
</tr>
<tr>
<td>COB, Library, Public Policy, Student Affairs, VCR</td>
<td>Kay King, 536-2642, <a href="mailto:lkking@siu.edu">lkking@siu.edu</a></td>
</tr>
<tr>
<td>Office of the Chancellor, COAG, COEG, School of Law,</td>
<td>Debbie Doneghue, 536-2648, <a href="mailto:debmill@siu.edu">debmill@siu.edu</a></td>
</tr>
<tr>
<td>COEHS</td>
<td>Norma Mitchell, 453-3601, <a href="mailto:nmitchel@siu.edu">nmitchel@siu.edu</a></td>
</tr>
</tbody>
</table>
Office of the Vice Chancellor for Research and Graduate Dean

• Dr. John A. Koropchak, Vice Chancellor for Research and Graduate Dean
  – http://vcresearch.siuc.edu/about.html
Funding Opportunities

• Internal Funding
  – http://www.ospa.siu.edu/find/internal-funding/index.html

• External Funding
  – http://www.ospa.siu.edu/find/external-funding/index.html

• Community of Science
  – www.cos.com
Finding Funding Opportunities
Pre-Proposal Tips

• Start searches for funding early; 6 to 12 months before you need the funds

• Have a Plan – What are your Goals and Objectives?

• Review RFP (Request for Proposals) to confirm eligibility

• Contact the Program Officer/Coordinator of the Funding Agency ASAP
External Grant Submission Policies

• All external grants (except fellowships paid directly to PI) must receive institutional approval (through OSPA).

• Notify Research Project Specialist (RPS) of submission at least one week before the deadline

• Send draft budget for review

• Obtain department chair and dean signatures on proposal/award checklist
External Grant Submission Policies
(cont.)

• **Electronic Submission** – At least 24 hours before the deadline, submit hard copy of proposal and signed checklist to RPS. Include electronic copy of proposal if OSPA will submit.

• **Paper submission** – At least 48 hours before mailing deadline, submit hard copy of proposal and signed checklist if OSPA will mail. (24 hours before if PI mails)
Limited Submission

• Programs for which a limited number of proposals and letters of intent will be accepted from an institution.

• **Limited Submission Notification form** and a preproposal must be received by OSPA **at least 60 calendar days** before the agency deadline.
Limited Submission

• Preproposal Requirements:
  – 2-page project description describing the scope of the project, expected/intended outcomes, the personnel involved, and existing resources;
  – 1-page budget;
  – 2-page curriculum vitae.
Limited Submission

• The Office of the Vice Chancellor for Research will establish a committee to oversee proposal selection. OSPA will notify all applicants of the committee’s decision.

• If the number of notifications received by the 60-day deadline does NOT exceed the limit, OSPA will take any subsequent notification forms on a first-come, first-accepted basis. When the program limit is reached, no further notifications will be accepted and submissions will be closed.
# Facts and Figures for Proposals

<table>
<thead>
<tr>
<th>Number Identifications</th>
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<tbody>
<tr>
<td>FEIN</td>
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<tr>
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<td>0N00P</td>
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<td>A-3078-01</td>
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<td>J-1 Visa</td>
<td>P1281</td>
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<td>Radiation Safety Number</td>
<td>IL-01633-01</td>
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### Facts and Figures for Proposals

<table>
<thead>
<tr>
<th><strong>Other Identifications/Assurances</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Applicant Organization</strong></td>
<td>Board of Trustees Southern Illinois University</td>
</tr>
<tr>
<td><strong>Applicant Address</strong></td>
<td>c/o Office of Sponsored Projects Administration Mail Code 4709, Woody Hall C-206, Southern Illinois University Carbondale, 900 S. Normal St., Carbondale, IL 62901</td>
</tr>
<tr>
<td><strong>Applicant Telephone, Fax, and E-mail</strong></td>
<td>Phone: (618) 453-4540; Fax: (618) 453-8038; E-mail: <a href="mailto:OSPA@siu.edu">OSPA@siu.edu</a></td>
</tr>
<tr>
<td><strong>Authorized Institutional Representative</strong></td>
<td>John A. Koropchak, Vice Chancellor for Research and Graduate Dean, for Rita Cheng, Chancellor, Southern Illinois University Carbondale</td>
</tr>
<tr>
<td><strong>Institutional Fiscal Office for Grants and Contracts</strong></td>
<td>Jeff Tally, Grant and Contract Accounting, Mail Code 6812, Southern Illinois University Carbondale, 101 Thalman Hall, Carbondale, IL 62901</td>
</tr>
<tr>
<td><strong>F&amp;A – date signed</strong></td>
<td>March 31, 2008, by DHHS</td>
</tr>
<tr>
<td><strong>U.S. Congressional District</strong></td>
<td>12</td>
</tr>
<tr>
<td><strong>Illinois Senate District</strong></td>
<td>58</td>
</tr>
<tr>
<td><strong>Illinois House District</strong></td>
<td>115</td>
</tr>
</tbody>
</table>
What is a PI or co-PI?

• The primary person(s) responsible for the design, scientific/technical conduct, administration, fiscal accountability and reporting of a sponsored project.
## Who Can be a PI?

<table>
<thead>
<tr>
<th>Position</th>
<th>Approvals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty members with at least 50% appointment</td>
<td>No Additional Approval</td>
</tr>
<tr>
<td>Senior Scientists</td>
<td>No Additional Approval</td>
</tr>
<tr>
<td>Non research A/P staff</td>
<td>Supervisor Approval</td>
</tr>
<tr>
<td>Associate and Assistant Scientist</td>
<td>Chair and Dean Approval</td>
</tr>
<tr>
<td>Emeritus Faculty</td>
<td>Chair and Dean Approval</td>
</tr>
<tr>
<td>Adjunct Faculty</td>
<td>Chair and Dean Approval</td>
</tr>
<tr>
<td>Researchers*</td>
<td>Cannot serve as PI</td>
</tr>
<tr>
<td>Post docs*</td>
<td>Cannot serve as PI</td>
</tr>
<tr>
<td>Graduate students*</td>
<td>Cannot serve as PI</td>
</tr>
<tr>
<td>Undergraduate students*</td>
<td>Cannot serve as PI</td>
</tr>
</tbody>
</table>

*Unless the agency announcement specifies eligibility for one of the above (but not for SIUC classification purposes)
PI Responsibilities

• Put forth a best effort performance
• Oversee all scientific and administrative activities
• Fulfill proposal objectives and scope of work
• Comply with terms and conditions of the award
• Train and supervise staff/students
• Properly plan expenditures (& oversee if fiscal officer)
• Submit reports to the funding agency as required in the award agreement
• Determine authorship
PI Responsibilities (cont.)

• Observing any other legal stipulations, such as provisions concerning treatment of proprietary information and disclosure of patentable discoveries made in the course of the project.

• Ensure project compliance with university, state and federal policies (IRB, IACUC, Biohazard, OSHA, RCR, IP, conflict of interest, export controls)

• Maintain and archive data, including research records necessary to support patent activity
RFPs & Grant Guidelines

- Make sure to review general agency grant guidelines in addition to the RFP
- NIH: SF 424 Guide
- NSF: Grant Proposal Guide
- NIJ: Guidelines
- Agency website for Individual RFP
- Contact Agency Program Officer
Direct Costs: Salary

• Faculty/AP:
  – Calculation: Monthly Salary (not split over 12 months) x % effort x # months
  – Up to 3 months Summer Salary (up to 2 months for NSF)
  – Salary requests must coincide with effort

• Extra Help:
  – Calculation: Hourly Rate x # hours
  – See HR for help with Hourly Rate & time limitation
Direct Costs: Salary (cont.)

- **Graduate Assistants:** rates
  - Calculation: full Month Rate x # months x 25% or 50%

- **Student Workers:**
  - Calculation: Hourly Rate x # hours
  - Can include up to ~50¢ above minimum wage

- **Post Doctoral Students:**
  - Calculation: Monthly Rate x # months x % effort
  - Monthly Rate must be at least full monthly rate for Ph.D. level GA
## Direct Costs: Fringe Benefits

<table>
<thead>
<tr>
<th>Type of Employee</th>
<th>FB Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regular (Faculty, AP, CS, FT/PT, Post-Doc)</td>
<td>38%, 37% (over $200k salary)</td>
</tr>
<tr>
<td>Extra Help</td>
<td>7.7%</td>
</tr>
<tr>
<td>Emeritus/Retired</td>
<td>1.5%</td>
</tr>
<tr>
<td>Graduate Assistants</td>
<td>50% of <a href="#">Primary Care Fee</a></td>
</tr>
<tr>
<td>Undergraduate Student Workers</td>
<td>None</td>
</tr>
</tbody>
</table>
Direct Costs: Equipment

• Is equipment an allowable expense under the grant program guidelines?
• Equipment purchased with grant funds must be project-specific.
• General-purpose equipment, such as a personal computer and office furnishings, are normally not allowable.
Direct Costs: Equipment (cont.)

- On federal grants and contracts, equipment or equipment components costing less than $5,000 are categorized as commodities.

- The equipment threshold on nonfederal grants and contracts may vary. Check the program guidelines.

- Equipment must be itemized by descriptive name and estimated cost, with an adequate justification in the budget narrative.
Direct Costs: Travel

- Check sponsor guidelines to verify the allowability of travel costs.
- Costs for travel, lodging and subsistence may be charged on an actual cost basis or a per diem or mileage basis.
Direct Costs: Travel (cont.)

- Charges incurred by employees for travel, lodging and other subsistence should follow the following guidelines:
  - Travel Reimbursement Rates
  - International per-diem/lodging limits are posted on this [State Dept. web page](#).
Direct Costs: Commodities

• Costs incurred for materials, supplies, and fabricated parts necessary to carry out a sponsored agreement.

• Only materials and supplies actually used for the performance of a sponsored agreement may be charged as direct costs.
• Office or general purpose supplies are considered to be indirect costs and are normally not allowable.

• Must be a reasonable, good-faith estimate of actual costs

• Must be able to provide justification for cost basis
Direct Costs: Contractual

- Often referred to as “other direct costs.”
- Costs incurred for services necessary to carry out a sponsored project.
- Should be itemized and described in the budget narrative.
F&A/Indirect Costs

• Costs that cannot be directly charged to a project.
• Overhead costs are real costs though less visible.
• University policy requires overhead be charged at the federally approved rate.
F&A/Indirect Costs

• Rate varies depending on whether the sponsored project is for research, training, or other activities and whether it will take place primarily on or off campus.

F&A/Indirect Costs

• Any reduction in the indirect costs rate requires approval of the OSPA director or the VCR.

• If a reduced rate is required by the funding agency the proposal must include a written statement of this policy on indirect costs reimbursement.
Red-Flag Budget Items

• Salary: all SIU personnel must be included in the salary line on the budget.

• Fringe Benefits: approved rate must be used unless have prior University approvals.

• Travel: foreign travel requires prior agency approval.

• Commodities: Office supplies and other general purpose supplies are not allowable.
Red-Flag Budget Items

• Contractual Services: General purpose costs or routine costs cannot be charged as a direct cost.

• Equipment: Must be project specific and approved by agency.

• F&A Costs: Reduced rate requires prior University approval.
Cost Share/Match

• University resources allocated to an externally funded project over and above the support provided by that sponsor
SIUC Cost Share Policy

• Excessive cost sharing – in terms of % of PI effort and total SIUC contributed dollars is discouraged
Rationale for Policy

- Excessive cost share affects university F&A rate
- Excessive cost share is burdensome to track
- Excessive cost share is wasteful of limited university resources
- Excessive cost share may lead to expenditures not directly related to the project (fraud)
- Federal agency guidelines should be followed
Cost Share Principles

• Must be verifiable from University financial records
• Related to the grant objectives
• Incurred during the project period
• Allowable under OMB Circular A-21
• If federal grant, not from another federal grant
• Everything is subject to audit
NSF Cost Share Policy

• Beginning Jan. 2011 NSF clarified position on cost share:
  – Inclusion of voluntary committed cost share is prohibited. Any necessary resources committed by university must be described in the Facilities, Equipment, and Other Resources section of proposal. Only when mandatory, cost share listed on line M and budget justification.
Types of Cost Share

• Mandatory
  – Required by agency as condition of award
  – Percent of total award vs. total cost of project
  – Must be tracked and reported to the agency

• Voluntary
  – Not required but if included in the proposal it becomes binding.
  – Must be tracked and reported to the agency
Sources of Cost Share:
Cash, In-Kind, Third Party

- VCR Match (equipment, assistantships)
- Dept. faculty release (salary and fringe)
- Other in-kind: tuition waivers, contributed and unrecovered F&A
- Third Party: must have written documentation prior to submission detailing contributed costs on entity’s letterhead
Electronic Research Administration

- NSF Fastlane
- Research.gov
- Grants.gov
- eRA Commons
Tips for Success

• Prepare a realistic budget – don’t ask for something just because it would be nice to have. Don’t pad your numbers. Research reasonable estimates for costs, e.g., airfare, supplies

• Stress how your project is cutting edge, how it fills a gap in current knowledge or reinterprets existing information
• Make sure your proposed project fits in with the funding agency’s (and the specific grant program’s) objectives.
• Make sure the proposed project is doable in the timeframe allowed by the grant and with the funding available.
• Contact the program officer to discuss your project (if allowed).
Tips for Success (cont.)

• Have a colleague review the proposal before submission
• Check grant guidelines carefully against your proposal; follow instructions explicitly
• Make sure your proposal covers all of the selection criteria listed in the RFP
• Never assume that the reviewers can “read through the lines.” If you want them to know something, include it in your narrative.
FAQs

Award Notification

• Grant Anticipation Notice (GAN)
• Notice of Grant Award (NGA)
• Notify OSPA ASAP
  – Bring/Send/Forward Agreement, contract, MOU, award, e-mail, notices, etc. to OSPA
OSPA Post Award Services

• Award negotiation/acceptance
• Subcontracts/subawards
• Audit questions
Research Compliance

- Human Subjects
- Animal Care and Use
- Bio-hazards
- Chemical Oversight
- Radiation Safety
- Recombinant DNA
- Stem Cell
Human Subjects (IRB)

• SIUC Review Policy on Human Subjects:
  – Sponsored by Institution
  – Employee/student connected to their responsibilities
  – Employee using property or facility
  – Use of non-public information to ID
  – Non-employee provide other IRB approval or authorization agreement
Human Subjects (IRB)

• Ethical Concerns
  – Belmont Principals
    • Respect for persons dignity and autonomy
    • Special protection for minors, prisoners, persons with diminished authority
    • Beneficence by maximizing benefits and minimizing risks
    • Appropriate use of vulnerable populations
    • Justice requires that benefits/burdens dist. fairly
Human Subjects (IRB)

• Meets the definition of research:
  – Research refers to any systematic gathering and analysis of information designed to develop or contribute to generalizable knowledge
  – Results to be published or presented at public meeting
  – Interaction/intervention/collection of live human data
Human Subjects (IRB)

• Levels of Review
  – Category 1 – Exempt (minimal risk)
  – Category 2 – Expedited
  – Category 3 – Full IRB review

• Research that has begun or completed cannot be reviewed

• Modified protocols must be approved

• Approval is for one year
Human Subjects (IRB)

• Consent
  – Must contain basic elements (purpose, affiliation, voluntary, duration, contact info, signature, HSC statement of approval, etc.)
  – Comprehension
  – Date stamped if federally funded
  – Consent waived if appropriate
  – Documented consent waived if appropriate
  – Email requirement (subject line, opt out, etc.)
Human Subjects (IRB)

- Vulnerable populations
  - Children (under 18)
  - Persons with limited capacity
  - Prisoners
  - Persons in residential program
  - Clients of human service program
Human Subjects (IRB)

• Training Requirements
  – Online NIH training module
  – Collaborative Institutional Training Initiative (CITI)
  – Includes all category 3 research and all NIH funded research
Human Subjects (IRB)

• Grant Coordination
  – Before an award is accepted a protocol must at least be under review and near approval
  – Before an account is issued the protocol must be approved
  – The protocol and the grant description must be consistent
  – Prison research may also require funding agency approval
Human Subjects (IRB)

- Collaborating Entities/Individuals
  - Prime grant recipient and engaged in research
  - FWA requirement
  - IRB registration
  - Authorized Agreements
  - Individual Authorization Agreements
Human Subjects (IRB)

- Woody Hall C-214, 453-4533
- Karen Rowland, Secretary
- Steve Banker, Administrator
- Jane Swanson, Chair
- John Koropchak, IO
Animal Care and Use (IACUC)

- All vertebrates used in research and teaching
- Mere observation of wildlife with no handling or disturbance us exempt from review
- All new protocols reviewed in committee
- The IACUC/LAP is accredited by AAALAC
- Lab animals housed in Vivarium (LS II & LS III)
- Other locations: Wildlife annex, Fisheries annex, SIU Farms
- Inspections required every six months
Animal Care and Use (IACUC)

• Basic Policy/Procedures
  – Approved protocol before animals can be brought on campus
  – All personnel in contact with animals listed on protocol
  – CITI training
  – Occupational health examination completed
  – Labs where animals are studied are inspected by IACUC
Animal Care and Use (IACUC)

- Ethical Concerns
  - Minimize animal numbers
  - Minimize pain, distress, discomfort of the animal
  - Best practices involving surgery, anesthesia and euthanasia
  - Documentation
  - Safety of research & caretaker personnel
Animal Care and Use (IACUC)

• Woody Hall, C-214, 453-4533
• Karen Rowland, Committee Secretary
• Joe Scimeca, DVM and Director of LAP, LS III Room 1062
• Ray Adams, LAP coordinator
• Paula Arnold, LAP Administrative clerk
• John Martinko, Chair
• John Koropchak, IO
Chemical & Biological Compliance

- Biological
- Chemical
- Occupational Health and Safety
- Radiation Safety
Chemical & Biological Compliance

- CEHS
  - Established in the ‘90s to coordinate all activities associated with environmental regulatory compliance at SIUC
  - Develop policy and procedures
  - Conduct training and lab inspections
  - Dispose of waste
  - Support oversight review committees
  - Paul Restivo, Director
Chemical & Biological Compliance

• Oversight Committees
  – Institutional Biosafety Committee (approve Memo. Of Understanding & Agree.)
  – Chemical Oversight Advisory Committee
  – Radiological Control Committee
Export Controls

• Federal laws that regulate distribution to foreign nationals, entities, and countries of strategically important technology, services and information for reasons of foreign policy, national security or economic interest

• SIUC Export Control policy recently adopted
Export Controls

• PI responsibility to know EC policy and notify OSPA of potential issues
• PI must complete proposal checklist decision tree
• Applies to all activities, not just sponsored activities
Export Controls

• Exemptions
  – Basic or applied science or engineering research where results are broadly shared with the scientific community
  – Pure research that advances fundamental knowledge about the human world
  – No restrictions on publications, foreign nationals, or other access to research results
  – Public domain or educational exemption
Export Controls

• Controlled Technology
  – RFP and/or Contract restrictions
  – Involves ITAR embargoed/sanctioned country
  – Involves someone on the debarred persons list
  – ITAR munitions list
  – Information or software on EAR list

• If yes, then
  – Analysis conducted
  – Export control license needed from State or Commerce Dept.