



Cornell University

Office of Sponsored Programs
Research Administration Roundtable

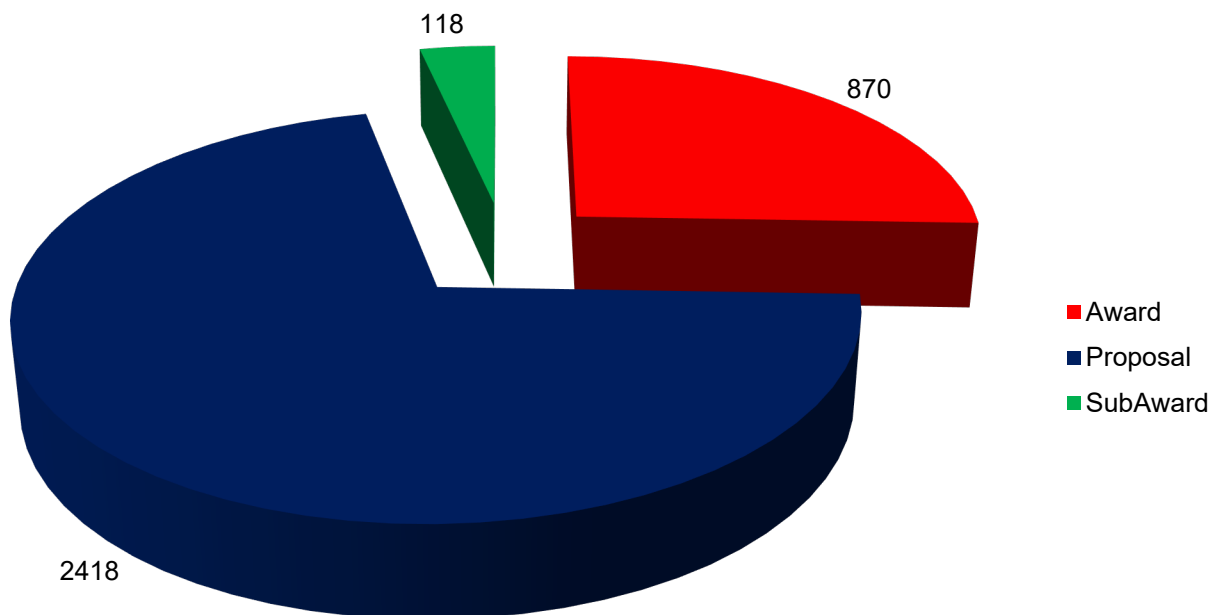
Research Administration
What's it all about?

Christine Ashdown
Office of Sponsored Programs



What is Research Administration? (Why do we do what we do?)

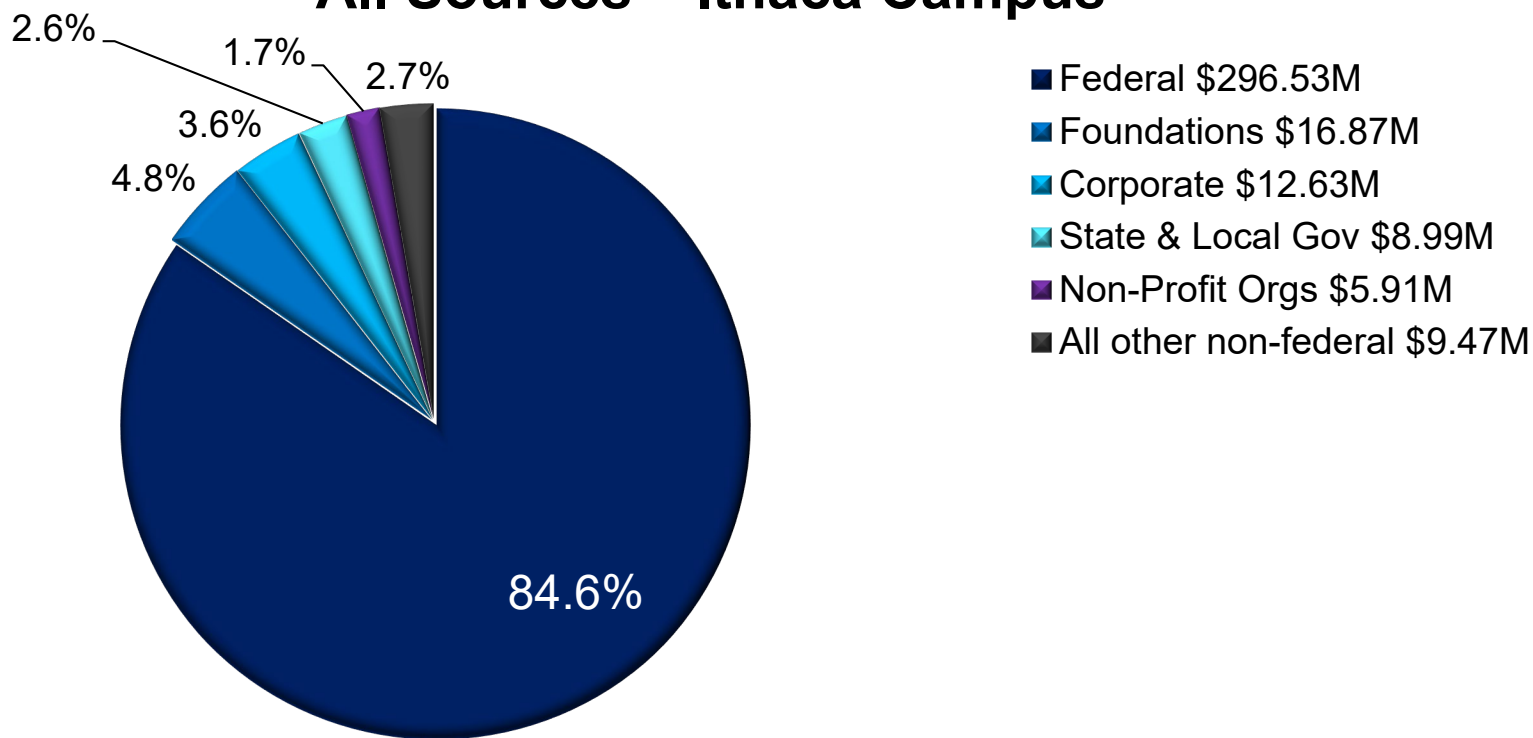
Sponsored Project Activity 2014 (Fiscal Year)*



*Excludes Material Transfer Agreements, Non-disclosure Agreements and restricted Access Data Set Agreements



Sponsored Research Expenditures FY 2013 All Sources – Ithaca Campus





Key terms & Abbreviations



Sponsor

An entity that provides support or funding for a project conducted at the University.

Examples:

1. Federal government: National Science Foundation
2. State agency: New York State Department of Agriculture & Markets
3. Foundation: Bill and Melinda Gates Foundation
4. Industry: Lockheed Martin



Sponsored Project

A sponsored project is any externally supported activity that has a defined set of objectives which provides the basis of sponsor expectations.

Sponsored projects include:

- research
- community and public service, extension
- professional development
- training, curriculum development and education
- or other scholarly activity for which funds, materials, other forms of compensation are provided, or involve the exchange of in-kind efforts



Proposal

Application for research (or other) support.

- A proposal describes the project, notes capabilities and details the costs of the work
- Proposals are submitted on behalf of the institution and a principal investigator
- Proposals are submitted by an authorized official for the institution in the name of the institution



Principal Investigator (PI)

The individual leading the research (or other) project at their institution.

The Principal Investigator

- Has responsibility for the conduct of the supported research (or other) activity.
- Has fiduciary responsibility for management of the project's resources.



Sponsored Award

The document which defines the terms and conditions for a specific sponsored project

- Support provided by an external entity for research (or other) project conducted by a PI.
- May be in the form of a grant, contract or cooperative agreement.



Acronyms



Proposal Development

Title

Abstract/Summary

Proposal Narrative/Project Description

- Introduction (Overview/Executive Summary)
- Specific Aims/Objectives
- Expected Significance
- Methods
- Expected Results

Curriculum vitae/Biosketch

Budget & Budget Justification (narrative)

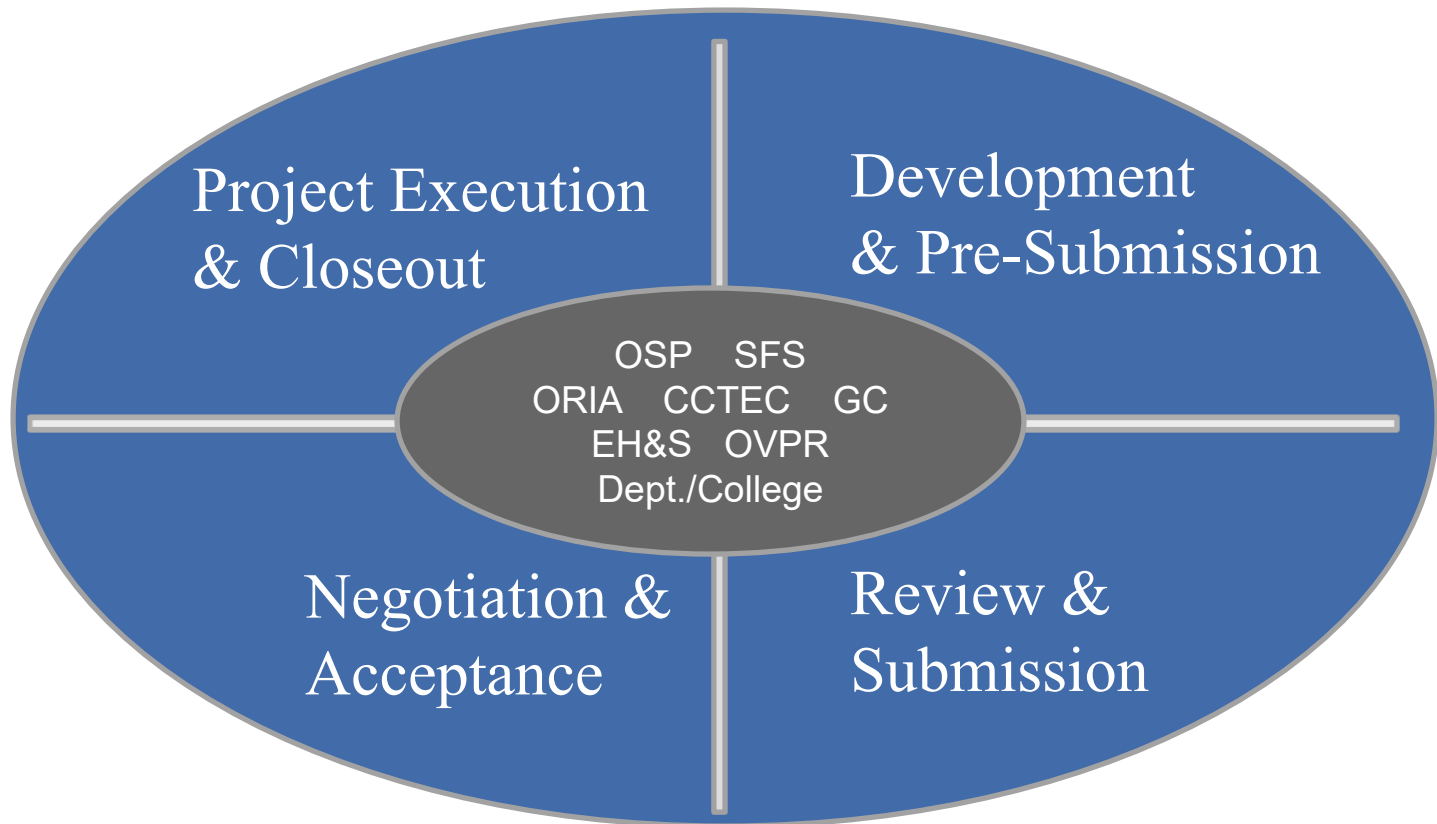
Literature cited

Current and Pending Support

Other: Support Letters, Subrecipient documents, etc.



Sponsored Programs Lifecycle



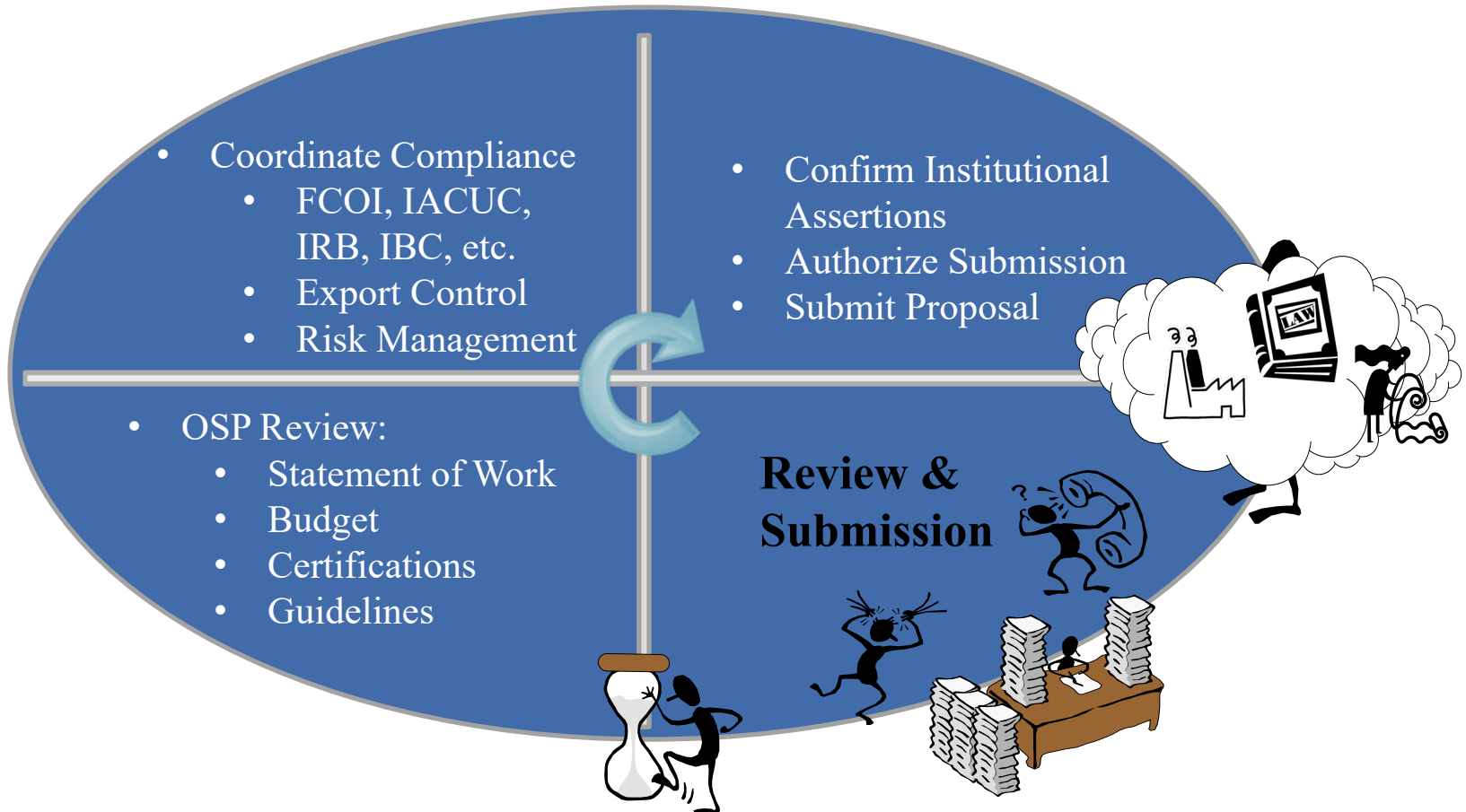


Sponsored Project Lifecycle: Stage 1 – Prepare to Submit



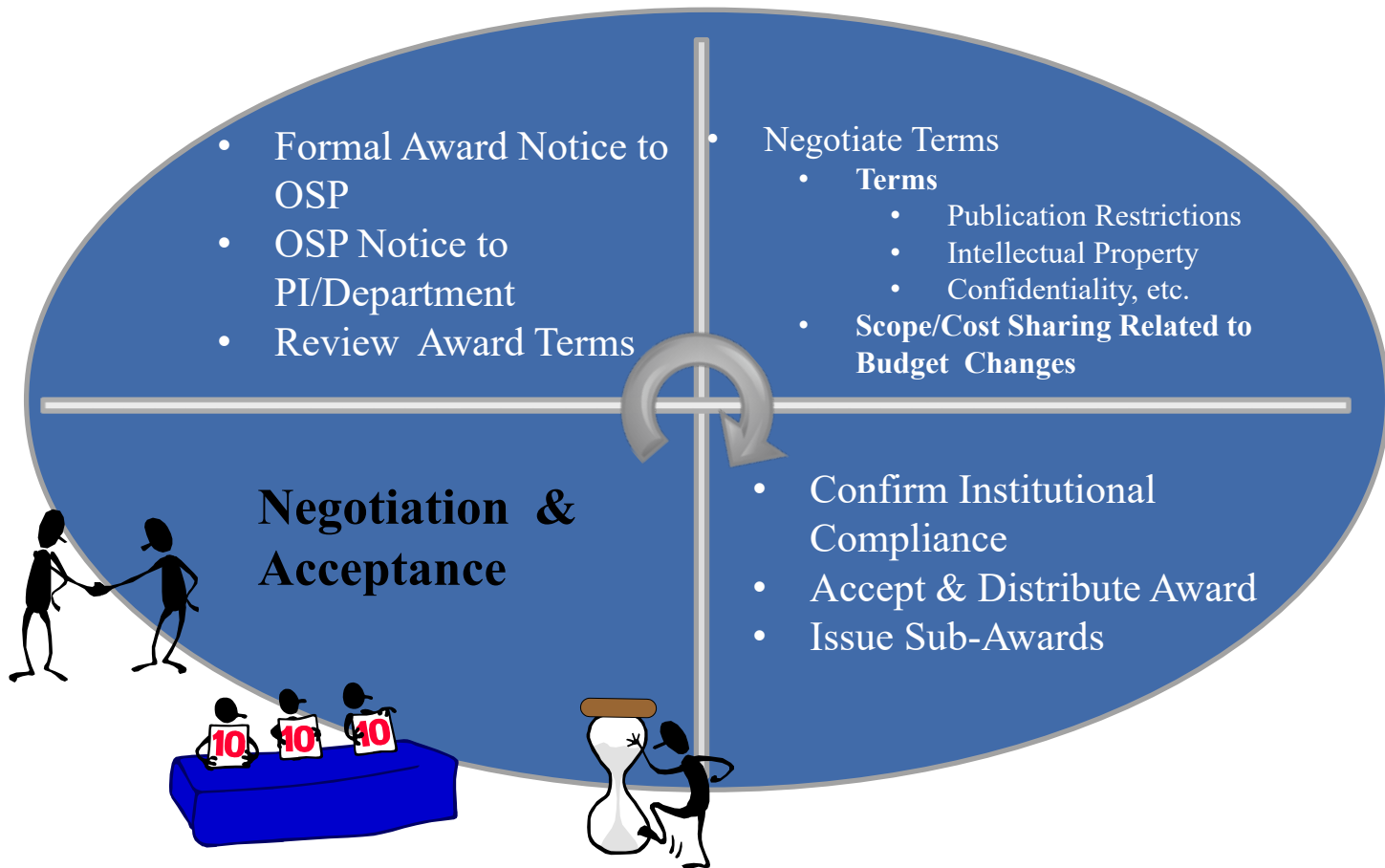


Sponsored Project Lifecycle: Stage 2 – Review and Submit



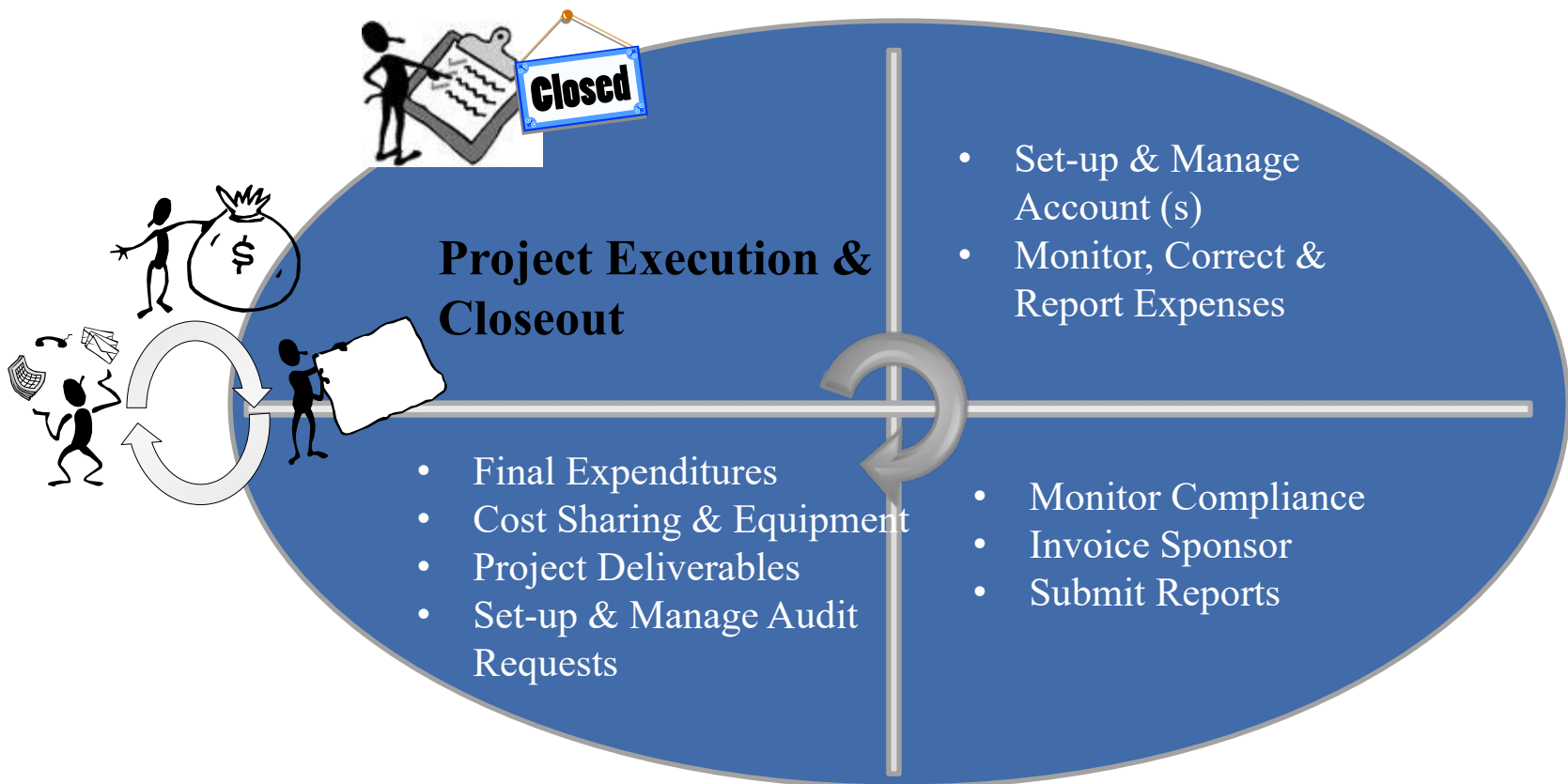


Sponsored Project Lifecycle: Stage 3 – Negotiate and Accept





Sponsored Project Lifecycle: Stage 4 – Execute Project and Close Out





Policy Considerations

Some sources of the policy requirements:

- Cornell Faculty Handbook
- The circulars
- Bayh-Dole Act
- Various other state and federal laws and regulations
 - Export controls
 - Taxes and not-for-profit status
 - Research conduct
- Cornell University Policies
- Individual sponsor terms and conditions



The Circulars/Uniform Guidance

- Refers to OMB Circulars A-21, A-110, A-133
 - A-21 – Cost Principles for Educational Institutions
 - A-110 – Uniform Administration Requirements for Grants and Agreements with Institutions of Higher Education
 - A-133 Audits of States, Local Governments and Non-Profit Organizations
 - Other Circulars not applicable Educational Institutions
- Effective December 26, 2014, replaced by Uniform Administrative Requirements, Cost Principals and Audit Requirements for Federal Awards (2 CFR 200)
- Issued by the federal Office of Management and the Budget
- Establish policies for the expenditure and management of all federal grant funds



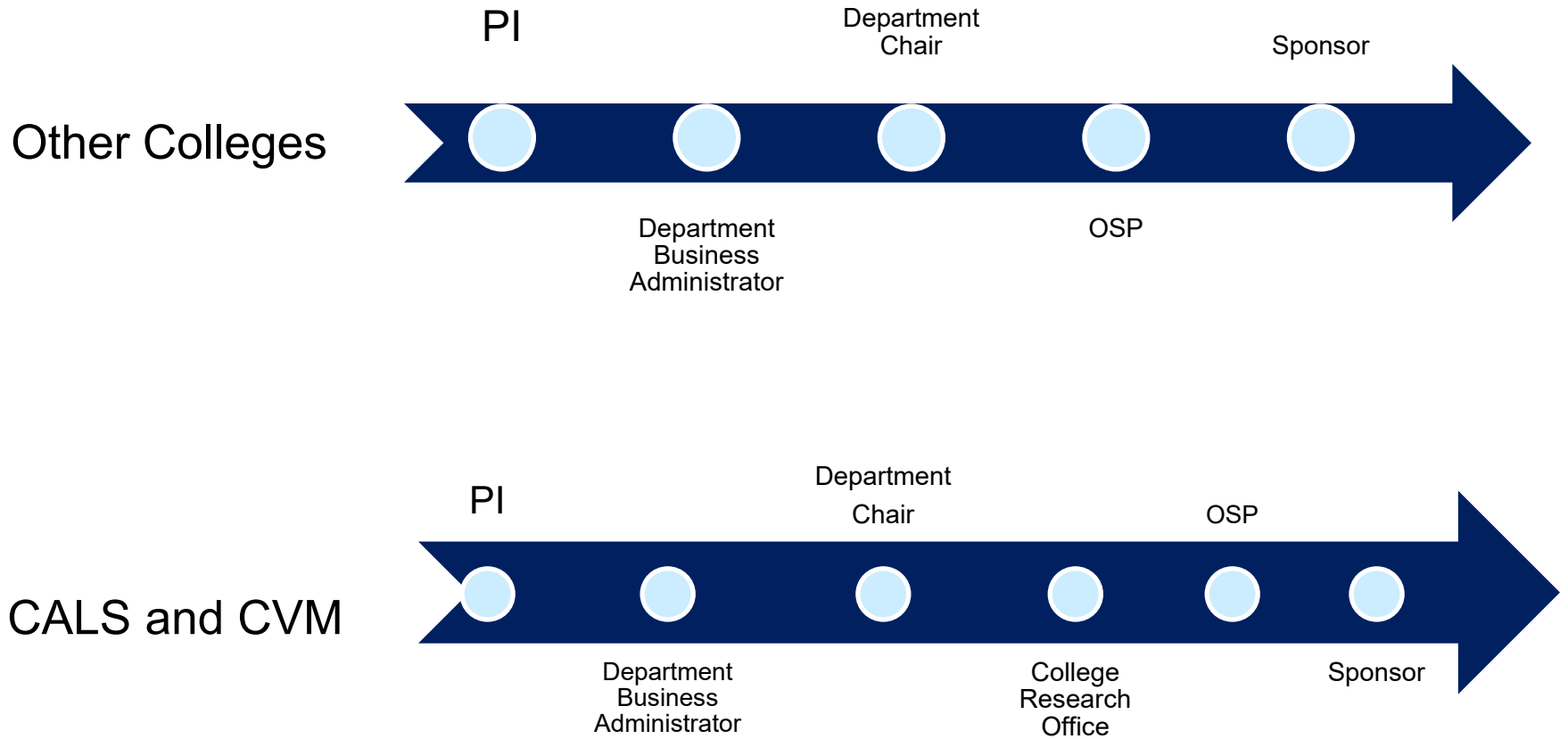
Policy Considerations

- Appropriateness
- PI Eligibility
- Intellectual Property
- Publication/Authorship
- Award Type
- International Activities
- Responsible Conduct of Research
- Conflicts of Interest
- Cost Sharing

Why worry about this issues?



Proposal Workflow at Cornell





Proposal Review

What Does OSP Review?





- A. Sponsor Analysis/Review
- B. Internal Notification and Consultation with Other Administrative Offices
- C. Sponsor's Guidelines:
 - Presence of terms and conditions
 - Limitations on number of applicants
 - Submission method and deadline
 - Certifications and assurances
- D. Form 10:
 - Form complete
 - Signatures present and correct
 - Data consistent with proposal
- E. PI Eligibility:
 - Form 5 for non-eligible PIs



F. Institutional, Federal and State Compliances

- Conflict of Interest/Conflict of Commitment
- Human Participants
- Animals
- Genetically Modified Organisms
- Radiation
- Biological Agents and Toxins
- Hazardous Materials
- International Activities
- Board of Trustees Approval
- Renovation/Facilities
- Stem Cells
- Export Controls
- Background Intellectual Property
- Debarment
- Anti-Terrorism



G. Proposal

- Application package/form is correct
- Cover/Face Page
- Abstract or Project Summary
- Narrative/Research Plan/Scope of Work
- Bibliography/References
- Curriculum Vitae/Biosketch
- Other Support
- Budget
- Budget Narrative/Justification
- Resources & Facilities
- Current & Pending Support
- Appendices/Supplemental Documents
- Subcontract Plan MBE/WBE



H. Subaward Proposal (if applicable)

- Letter of Commitment
- Scope of Work
- Subaward Budget
- Negotiated Rate Agreement

I. Data Security Plan (if applicable)

J. Intellectual Property Management Plan (if applicable)

K. Technology Control Plan (if applicable)

L. Related Agreement Review