Research Administration
What’s it all about?

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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

- Federal: $296.53M
- Foundations: $16.87M
- Corporate: $12.63M
- State & Local Gov: $8.99M
- Non-Profit Orgs: $5.91M
- All other non-federal: $9.47M

84.6%
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

- Project Execution & Closeout
- Development & Pre-Submission
- Negotiation & Acceptance
- Review & Submission

OSP    SFS
ORIA  CCTEC  GC
EH&S  OVPR
Dept./College
Sponsored Project Lifecycle: Stage 1 – Prepare to Submit

- Institutional Compliance
- Department Approval
- Submission to OSP or College Research Office

Development & Pre-Submission

- Sponsor Guidelines & Policies
- Cornell Policies, Guidelines
- Create Proposal Package

- Develop Idea
- Identify Sponsor
- Identify Collaborators
Sponsored Project Lifecycle: Stage 2 – Review and Submit

- Coordinate Compliance
  - FCOI, IACUC, IRB, IBC, etc.
  - Export Control
  - Risk Management

- OSP Review:
  - Statement of Work
  - Budget
  - Certifications
  - Guidelines

- Confirm Institutional Assertions
  - Authorize Submission
  - Submit Proposal

Review & Submission
Sponsored Project Lifecycle: Stage 3 – Negotiate and Accept

- Formal Award Notice to OSP
- OSP Notice to PI/Department
- Review Award Terms

Negotiation & Acceptance

- Negotiate Terms
  - Terms
    - Publication Restrictions
    - Intellectual Property
    - Confidentiality, etc.
  - Scope/Cost Sharing Related to Budget Changes

- Confirm Institutional Compliance
- Accept & Distribute Award
- Issue Sub-Awards
Sponsored Project Lifecycle:
Stage 4 – Execute Project and Close Out

- Set-up & Manage Account(s)
- Monitor, Correct & Report Expenses
- Final Expenditures
- Cost Sharing & Equipment
- Project Deliverables
- Set-up & Manage Audit Requests
- Monitor Compliance
- Invoice Sponsor
- Submit Reports
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?

Policies web site http://www.osp.cornell.edu/Policies/
Proposal Workflow at Cornell

Other Colleges

- PI
- Department Chair
- Sponsor
- Department Business Administrator

CALS and CVM

- PI
- Department Chair
- Sponsor
- College Research Office
- Department Business Administrator
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