Welcome Faculty!
Research Operations

1. Research Compliance
   - Institution Review Board
   - Animal Care Committee
   - Biosafety Committee

2. Research Integrity
   - Responsible Conduct of Research
   - Research Misconduct
   - Research Conflict of Interest

3. Research Development
   - Seed funding programs (R&A Program)
   - Research Methods Unit
   - PI Academy for Research and Engagement
   - NIH “A1” Program
   - Large-scale proposals and collaborations, center development & support, interdisciplinary projects

4. Policy Development

Sponsored Projects

1. Funding Sources & Opportunities
2. Proposal Development
   - Resource Guidance
   - Narrative Review
   - Budget
   - Agency Forms
   - Reviewer Comments

3. Proposal Approval & Submission
4. Award Review & Negotiation
   - Just-In-Time Agency Requests
   - Non-Financial Post Award

5. Contracts & Industry Relations
   - Research Agreements
   - Testing Agreements
   - Material Transfer Agreements

6. Institutional Reporting
7. Policy Development
Office of Sponsored Projects

Who Are We?

• Seven (7) Full-Time Professional Research Administrators
• One (1) electronic Research Administration (eRA) Coordinator
• One (1) Office Support Specialist
• One (1) Graduate Assistant
• One (1) Student Worker
Office of Sponsored Projects

Research Administration Staff

• Five (5) Research Development Specialists (RDS)
  – Funding Sources and Opportunities
  – Proposal Development
  – Proposal Submission
  – Just-in-Time (JIT)

• One (1) Contract Coordinator, Sponsored Programs & Industrial Agreements
  – Contract Negotiation
  – Liaison with NIU Technology Transfer Office (TTO) and Industry Partners
  – Non-financial research support agreements

• One (1) Award Coordinator
  – Reviews award notices
  – Assists with Interpreting award terms and conditions
  – Progress Report Submission
  – Non-financial post-award and prior approval requests
Office of Sponsored Projects

Phase I: Find Funding/Proposal Development
- Principal Investigator
- Collaborators
- Department & College
- OSP
- Division of Research

Phase II: Proposal Approval/Submission/Tracking
- Principal Investigator
- Collaborators
- Department & College
- OSP

Phase III: Just-in-Time Award Negotiation/Acceptance
- Principal Investigator
- Collaborators
- Department & College
- OSP
- GFA

Phase IV: Conduct Project/Report Progress/Close-Out
- Principal Investigator
- Collaborators
- GFA
- OSP
- Various NIU Units (Accounting, International Programs, Procurement)
External Funding at NIU

Sponsored Project
- Uses University resources and advances Institutional mission
- Formal reporting requirements (including financial) or expectation for deliverables
- May be competively sought and awarded through a peer review process
- Intellectual property expectations
- Managed through Office of Sponsored Projects and Grants Fiscal Administration

Gift/Donation
- Uses University resources and advances Institutional mission
- Minimal reporting requirements, if any at all
- No expectation for intellectual property rights
- Managed through NIU Foundation or NIU Research Foundation

Private Consulting
- Rarely uses University resources
- Consulting related to individuals area of expertise and consistent with University mission
- Prior Approval from home unit and Provost
## Types of Sponsored Projects

<table>
<thead>
<tr>
<th>Grant</th>
<th>Cooperative Agreement</th>
<th>Contract</th>
</tr>
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</table>
| • Primary purpose is to support or stimulate the carrying out of a public purpose  
• Significant degree of latitude to carry out the program scope and objectives  
• Competitively sought and often awarded based upon a peer review process  
• Common funding mechanism for federal agencies and private foundations | • Significant involvement by the sponsor in carrying out the program scope and objectives  
• Competitively sought and awarded based upon a peer review process  
• Similar terms & conditions as a grant  
• Generally requires more frequent reporting | • Typical used when a sponsor has a short-term need or goal to acquire property or services for the direct benefit of the sponsor  
• More explicit and binding than a grant or cooperative agreement  
• Breach of contract gives one party rights to seek legal remedy from the other for failure to comply with the duties of the contract  
• Quid pro-quo relationship |
Funding

Andrea Buford
Donna Martin
Research Development Specialists
You’ve answered these questions:

- What is the body of work for which I want to be known?
- What is the next available question in the discipline that is appropriately mine to answer?

We turn now to the burning question........
Who is going to pay for it????????

- Lead with the research, not the call for proposals.
- There is *always* another sponsor.
- The process now becomes very discipline-specific. Talk to your RDS. A lot.
Types of Funding

- Federal
- State
- Corporate Foundations
- Industry Associations
- Charitable and Community Foundations
- Research Institutes
- Professional Associations & Societies
First-Time Principal Investigators

• **Internal, NIU funding**
  – If you still need preliminary data, or proof of concept
  – If you work in an area where external sponsorship is scarce
  – If you need experience managing and administering a grant
Internal Funding

• Research and Artistry Grants
  – Opportunity Grants—seed funding
  – Facilitation Grants—areas where external support is limited
  – Completion Grants—supplemental funding

– FAQ:
Great Journeys

- Graduate assistantship grant
- Expressly intended to support your efforts toward preparing a larger-scale, externally-funded proposal
Venture Grants

- **Offered by the NIU Foundation**
  - One-time, short-term funding
  - For the purpose of strengthening NIU’s teaching and learning environment or extending NIU’s regional or global impact
Foundations

• Private foundations support social, educational, religious, or other charitable activities through grant-making

• The donor defines the mission and the program of the foundation. It can be quite specific and targeted.
Corporate Foundations

Corporate foundations, created by businesses and corporations, are separate legal entities that maintain close ties with the parent company. Their giving usually reflects company interests.

These foundations might be particularly useful for the translation of research results into commercial or otherwise practical use.
Community Foundations

• Committed to local, public benefit
• Established for philanthropic purposes
• Typically fund “things” rather than “ideas”
• Like to fully meet a local need
Faculty with a gap in research

• Is it a gap in research or a gap in research funding?
  – In the first case, your funding trajectory will look more like an early investigator’s path.
  – In the second case, a strong publication record might open some other doors.
  – TALK TO YOUR RDS.
Finding relevant solicitations

- **Work with your RDS**
  - Targeted announcements straight to your e-mail

- **The do-it-yourself approach**
  - You can certainly come to us with announcements that you have found.
Finding Funding

- Databases
- Deadlines
- Guidelines
Finding Funding Sources

Use Databases to locate information regarding:

- Foundations
- Federal agencies
- Corporate foundations
- Professional organizations

Listservs (Federal, state, Foundation Center RFP Bulletin)

Facebook (yes, Foundations have FB pages)

RSS feeds (the Foundation Center’s Philanthropy News Digest, for example).

LinkedIn
Finding Funding -- Databases

• Federal info: www.grants.gov
• State: Grant Forward or agency websites
• Foundations -- Foundation Center:
  – Foundation Directory
  – Foundation Finder
  – Newsletters (Arts, Education, and Health funding)

Databases:
• Grant Forward (Federal, state, foundation)
• GrantSearch (Federal, state, foundation)
• Foundation Directory (foundations only)
Funding Searches

- Databases provide preliminary information to determine eligibility, if your interests match the foundation’s priorities/interests, funding levels.
- Guidelines – get the complete guidelines on the agency website
- Deadlines
  - Agency deadlines
  - OSP deadlines
WRITING A GRANT PROPOSAL IS LIKE PLAYING A GAME

You have to play by the Rules

• Get the (most recent) guidelines
• Read the guidelines
• Follow the guidelines
Guidelines

• Access the agency guidelines and follow them to the letter!
• May be short, 1 page or so. Or might be 10 pages. (Some federal programs have almost 100 pages!)
• They indicate how they want to see the finished proposal arrive at their door.
Guidelines usually include:

- **Agency priorities/themes**—what areas they are interested in funding
- **Format issues**: Page limits, word count limits, margin & font size limitations
- **Budget information** (more on that later)
- **Deadlines**: (hard copy or email; postmark or receipt; don’t forget time zones!)
Federal grants

- Federal Opportunities: Grants.gov is THE single access point for over 900 grant programs offered by the 26 Federal grant-making agencies
  - RSS Feeds available at websites of individual agencies.
Grant Forward

• Database of federal and private funding opportunities in the sciences, social sciences, arts, and humanities.
• Search by sponsor, keywords, and other criteria
• Most records contain links to sponsor Web sites and electronic forms and guidelines
Grant Forward email Alert Service

- Once you create a User Account, you can save your search or create an alert for the search and receive email announcements of opportunities for your designated interests.
- You select your preferred search frequency (weekly, monthly) and categories.
- The program runs the search profile against the database and delivers the search results automatically via e-mail or the Web.
• You can save multiple searches. One user account, one email, but a separate list for each of your searches.

http://www.grantforward.com/
Foundation Directory

• Access available at Founders Memorial Library. Check with the Reference Librarian and they will log you in at a computer to use the Foundation Directory.

• Access is also available in the new Philanthropy section at the DeKalb Public Library on Oak Street.

• [http://www.foundationcenter.org/](http://www.foundationcenter.org/)
Foundation Directory, search tips

• Check out their Search Tutorials
• You can search by grantmaker name, fields of interest, state (for example, Illinois AND national), congressional districts
• Watch for geographical restrictions
• Check box at bottom to “exclude grantmakers not accepting applications”
Life Cycle of a Grant Proposal

Idea/RFP

- Contact Office of Sponsored Projects RDS

Narrative—draft, get feedback, revise

- Draft budget (get permissions if needed)

Narrative finalized

- Budget finalized

5 days before a deadline, OSP should start the routing process:

- Routing Forms for University Approvals: PIs, co-PIs, Chair, Deans, Directors, VPs, OSP
- OSP finalizing agency forms

OSP Submits proposal to Agency

Days before agency submission deadline

<table>
<thead>
<tr>
<th>Days before deadline</th>
<th>Business Days</th>
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</thead>
<tbody>
<tr>
<td>90+</td>
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<tr>
<td>60</td>
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<td>30</td>
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<td>5</td>
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</tbody>
</table>
Proposal Development

1. Have a Strategic Plan
2. How to Work with OSP
3. Proposal Basics
4. Review Criteria
5. Proposal Submission Process
6. Institutional Review
7. After Submitting a Proposal
1. Have a Strategic Plan
1. Have a Strategic Research Plan

- Have an idea—innovative, creative, collaborative
- Know key sources for funding—others, conferences, journal articles
- Establish timelines for your research program (1 year, 5 years)
- Know what the agency is interested in funding (white papers, strategic plans, budget requests)
- Understand the structure of your key agencies
• Stick to what you know: Don’t chase after funding opportunities
• Keep in touch with contacts at funding agencies
• Obtain and read the grant program guidelines. If you are not sure your idea fits, contact OSP or an agency Program Officer before starting work!
• Get on agency review panels
Your proposal should:

• Advance you along your career path (be a stepping stone to the next milestone)
• Be compatible with your institution’s goals
• Represent a contribution to society at large
• Align, as much as possible, with the funding agency’s goals and priorities
2. Working with OSP: Proposal Development
Working with OSP: Proposal development

• **Your Research Development Specialist (RDS) will help you:**
  – identify funders, collaborators, find resources, etc.
  – edit and refine narratives
  – develop budgets
  – ensure compliance with applicable university, sponsor, and legal requirements
  – navigate internal processes
  – respond to reviewer comments
Working with OSP: Proposal development

• Contacts for proposal development:
  – Andrea Buford (Health and Human Sciences; Arts, Libraries & Museums; and Humanities)
  – Kellie Dyslin (Social Sciences & Outreach)
  – Gina Jahn (Life & Physical Sciences & Mathematics)
  – Dara Little (Business; Law; others; for referral to an RDS)
  – Donna Martin (Education)
  – Qiang Mei (Engineering)
3. Proposal basics
Types of Proposals

• **Pre-proposal**
  – 5 pages (varies by agency)
  – reviewed
  – invited to submit

• **Full proposal**
  – from 10-50 pages (or word count)
  – Forms
  – Attachments
  – Specific format

• **Letter of Intent/Inquiry**
  – May be a proposal for some foundations
  – May/may not be **required**

• **Concept paper or White Paper**
  – 2-4 pages
  – highlights

Page limits vary widely by agency and program. The above pages may be typical, but some agencies have word count limits or line limits, for example.
<table>
<thead>
<tr>
<th>Common Heading</th>
<th>Who Completes</th>
<th>Answers the Question</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cover Sheet</td>
<td>OSP</td>
<td>Who are we?</td>
</tr>
<tr>
<td>Table of Contents</td>
<td>OSP/PI</td>
<td>What’s in the proposal?</td>
</tr>
<tr>
<td>Abstract</td>
<td>PI</td>
<td>What’s the big picture?</td>
</tr>
<tr>
<td>Problem Statement</td>
<td>PI</td>
<td>Why should we do this now?</td>
</tr>
<tr>
<td>Goals/Aims</td>
<td>PI</td>
<td>What are we trying to accomplish?</td>
</tr>
<tr>
<td>Measurable Objectives</td>
<td>PI</td>
<td>What will be different?</td>
</tr>
<tr>
<td>Procedures</td>
<td>PI</td>
<td>What exactly are we going to do and when?</td>
</tr>
<tr>
<td>Evaluation</td>
<td>PI</td>
<td>How will we know if our idea works?</td>
</tr>
<tr>
<td>Dissemination</td>
<td>PI</td>
<td>Who else will benefit? How will we share data?</td>
</tr>
<tr>
<td>Facilities</td>
<td>PI</td>
<td>Do we have the necessary tools/resources/capacity?</td>
</tr>
<tr>
<td>Personnel</td>
<td>PI</td>
<td>Who will do the work? Are they qualified?</td>
</tr>
<tr>
<td>Budget</td>
<td>OSP/PI</td>
<td>How much will it cost?</td>
</tr>
<tr>
<td>Biographical Sketch</td>
<td>PI</td>
<td>Who are the players?</td>
</tr>
<tr>
<td>References</td>
<td>PI</td>
<td>Whose work are you building on?</td>
</tr>
<tr>
<td>Appendices</td>
<td>PI</td>
<td>What else do the funders need to make a decision?</td>
</tr>
</tbody>
</table>
Following the guidelines

• You must follow the guidelines exactly.
• Old guidelines can be used for reference, but be sure to access new competition guidelines.
• Adhere to any format restrictions.
• Topics should be covered in order presented in the guidelines.
• Respond to all sections (points!).
• Use headings that correspond to the guidelines.
• Agencies offer proposal writing guides
• Federal agencies vs. foundations
• Project vs. Fellowships
• Some solicitations indicate literature in which their Request for Proposals (RFP) is based. (Research Council priorities, for example). Be familiar with those—quote when appropriate.
• Successful proposals
Starting the writing process: Create a template

• Copy/paste the agency’s heading into your Word doc to guide your work.

• Start with describing your need, the significance of the problem, issue, project
  
  – A project is significant if it, for example,:  
  • Solves a problem  
  • Creates new and important knowledge  
  • Creates a model  
  • Improves the human condition  
  • Improves a scientific technique
Sequence for Proposal Development

- Needs, significance
- Problem statement/Hypotheses
- Objectives
- Methods, work plan, activities
- Evaluation
- Dissemination
- Budget, then budget narrative
- Introduction
- Literature cited
- Forms
- Summary/Abstract
- Attachments, Biosketch/Vita – if allowed
Beginning the writing process

- Begin with an outline (either the agency steps or an outline of your project)
- Name your project
- Keep language clear and simple
- Use action words
- Avoid jargon and acronyms
- Revise and edit
Grant writing
- **Scholarly pursuit:** Individual passion
- **Past oriented:** Work that has been done
- **Theme-centered:** Theory and thesis
- **Expository rhetoric:** Explaining to reader

Academic writing
- **Sponsor goals:** Service Attitude
- **Future oriented:** Work that should be done
- **Project-centered:** Objectives and activities
- **Persuasive rhetoric:** “selling the reader”

Academic vs. Grant writing

Grant writing
• Impersonal tone:
  – Objective, dispassionate
• Individualistic:
  – Primarily a solo activity
• Few length constraints
  – Verbosity rewarded
• Specialized terminology
  – “insider jargon”

Academic writing
• Personal tone:
  – Conveys excitement
• Team-focused:
  – Feedback needed
• Strict length constraints:
  – Brevity rewarded
• Accessible language:
  – Easily understood
  – (who are reviewers?)

Letters: (IF allowed by the agency)

Letters of Commitment
- Letter writer advocates for your project
- Referred to in the text, put in appendix
- How does the project fit with the mission/goals of the organization
- Presents type of support

Letters of Support
- Evidence of interest in the project from participants
- If the project is funded, they are ready with their contribution
- What they will contribute
- They will participate at the time you need them
The Abstract

• *It may be short, but it packs a punch...*
  – Reviewers read it first. You need to grab their attention
  – Should be brief—200 words/1 page
  – It appears first, but it should be written LAST
The Abstract should answer the basic questions:

• **What:** Topic of project, goals, objectives. What do you intend to do?

• **Why:** Problem/Issue to be addressed. Why is the work important?

• **How:** Methods, procedures. How are you going to do the work?
The Abstract should answer the basic questions, cont’d

- **Who:** Target population, group served or studied

- **When:** Project dates, duration

- **So what:** Significance, outcomes expected
4. Review Criteria
Review Criteria

- Review Criteria (sometimes called Selection Criteria) varies greatly by agency
- Some guidelines offer a point value system for their Selection Criteria
- The Review Criteria will often become your Table of Contents
• Review Criteria for Scientific Merit

A. **Significance**: Does the applicant provide a compelling rationale for the significance of the project?

B. **Research Plan**: Tell the reviewer what you’re going to do and how you’re going to do it.

- May include research aims; theoretical and empirical rationale; research design; sample; data sources; data analysis; description of interventions; description of the assessment; and/or methodological requirements.
"I think you should be more explicit here in step two."
C. Personnel: Does the description make it apparent that the PI and other key personnel possess appropriate training and experience and will commit sufficient time to competently implement the proposed research?

D. Resources: Does the applicant have the facilities, equipment, supplies, and other resources required to support the proposed activities? Do the commitments of each partner show support for the implementation and success of the project?
Review—Know who your reviewers are

- Agency guidelines contain Review Criteria
- Peer reviewed
- Panel reviewed
- Staff review
- Board review
- It is OK to ask them not to send a proposal to a particular person (must be carefully justified)
- It’s okay to recommend reviewers
- Be aware of points assigned to proposal sections.
Keep your Reviewer in mind

- Don’t assume readers/reviewers know the subject as well as you do, but don’t go overboard.
- The most important rule to keep in mind:
  - Don’t annoy the reviewers!
Avoid automatic rejection

Examples include:

- Formatting issues (going over page, word, or line limits)
- Submitting a proposal over the budget ceiling
- Deadline issues (Online? Do time zones matter? Postmark/receipt?)
- Submitting a proposal outside agency interests (for example, a health-related proposal to NSF)
5. Proposal Submission Basics
Working with OSP

- 15 days
- 5 days
- 2 days
When planning a proposal submission:

• Notify us early.
• Plan a phone call with the PO?
• *At least one month* before the deadline, you should:
  – Contact OSP to discuss the budget and the proposal narrative.
  – Begin to line up any necessary project commitments, and document these in writing.
As the deadline nears...

- **Two to three weeks before deadline:**
  - You and OSP should be finalizing the budget.
  - Your narrative should be nearing a final draft (sooner, if you plan to ask colleagues to review the draft before finalizing).
  - You should have signed commitments in place with all collaborating partners and anyone providing resources or cost-sharing to the project.
Preparing for submission

- Check with OSP ahead of deadline to be sure all required elements are complete and properly formatted.
- Check with subcontractors, collaborating researchers, and other outside parties to ensure all their documents are in process and will arrive at your institution before the start of the review process.
Overall Proposal checklist

• **Budget:**
  – the budget should match the described project
  – the budget justification should match the project
  – All figures should match (avoid last minute budget changes)

• **Standard bibliography format appropriate to your discipline**

• **Complete all forms**

• **Deadline?** (online/hard copy/receipt/postmark?)

• **Check duplication process** (takes time)

• **Use margins, type size and spacing as requested in the guidelines**

• **Adhere to page, line or word limits**

• **Proofread/spell check**

• **Address all sections of the guidelines and review criteria**
6. Institutional Review
Institutional review process

• Except in very rare cases, proposals must normally be reviewed by OSP before submission to the funding agency.
  – When a proposal is submitted to a funding agency, a legal agreement is created between the agency and the submitting institution.
  – Consequently, institutional review is required to ensure that the proposed research activity is in line with the institution’s mission and abilities.
Institutional review process

- Funding agencies normally require proposals to be endorsed by someone who has the legal authority to commit the institution to carry out the proposed work.
  - They also normally require the individual approving the proposal to make a number of representations and/or certifications as part of the submission process.
  - Authorizing signatory: Director of Sponsored Projects, VP of Research & Graduate Studies, and other upper administration (including the President on rare occasions when the agency specifies).
Institutional review process

• If your project involves ...
  – Human or animal subjects
  – Recombinant DNA, biohazards/select agents, stem cells, radioactive materials
  – Conflict of interest (potential)
  – Export control questions/concerns
  – Intellectual property or technology commercialization questions/concerns

... there are additional steps to take
Institutional review process

• Failure to follow the institution’s review policies may result in:
  – Withdrawal of the proposal
  – Refusal of any award, even if already made
  – Institutional sanctions
7. After submitting a Proposal
After submitting the Proposal:

• Let us know about any communications you receive from the sponsoring agency regarding your proposal.
• If changes have to be made to a proposal or a budget after submission, OSP handles these. Internal approvals may be needed for the revisions if there is any change in the budget or scope.
If your proposal is declined. . .

- Don’t give up!
  - Get reviews (if the agency provides them)
  - Talk to agency contact
  - Re-evaluate, revise and resubmit
  - Look for other potential funders
- OSP can help with all of these steps
- Look at funded projects—abstracts are often available online

On average, a PI submits 2.1 proposals to the National Science Foundation for each one that gets funded...
Respond Carefully to Reviewers

- Some agencies allow you to respond to Review Comments. The following is from an NIH Program Officer:
  - Restate each (significant/major) criticism and how you revised the application in response—make it easy for the reviewer to find your “answers.”
  - Be diplomatic and positive. Don’t argue with reviewers.
  - Avoid an angry tone.
  - Avoid overstating your data.
10 ways to sabotage your proposal

10. Don’t have a hypothesis
9. Don’t describe methods and pilot data
8. Don’t involve students
7. Don’t use references
6. Don’t get a pre-submission review
5. Ignore program requirements and review criteria
4. Ask for the max
3. Don’t call the program officer
2. Get an award and party
1. Get declined, get offended

SOURCE: Tom Cooley, former Chief Financial Officer, National Science Foundation.
Proposal -- *Don’ts*

- Don’t rush
- Don’t wait until the last month to contact
  - OSP
  - Program staff
  - Collaborators, department chairs (for cost-share, course releases, etc.), deans, etc.
- Don’t skimp on broader impacts
Proposal -- Don’ts, continued

• Don’t make the proposed work too broad/narrow
• Don’t ask for too much/too little money
• Don’t ignore rules
• Don’t send it to the agency without at least one other person reviewing it
• Don’t call/e-mail program staff just to chat
Proposal -- Do’s

- Have a strategic plan
- Build on your strengths
- Perform thorough lit search and exploratory research before you start writing
- Check the proposal guidelines
- Establish/keep your contacts
Budgeting & compliance

Kellie Dyslin
Research Development Specialist
Budget Strategy

- Ask for what you need to do the work
- Justify requests that are significant or out of the ordinary
- Reviewers emphasize project quality over budget
- Follow sponsor and institutional guidelines and policies
- When in doubt, ask!
I need a budget estimate for my project, but I don't have a scope or a design for it yet.

Okay, my estimate is $3,583,729.

You don't know anything about my project. That makes two of us.
Know the rules!

“And if you submit a budget that contradicts any of these carefully described guidelines, we will have reason to think of you as a careless reader and thoughtless applicant. This will inevitably be reflected in our estimation of the potential of your scholarship.”

—Harry Frank Guggenheim Foundation
WHO DOES WHAT?

• **PI should:**
  – Know what resources are needed to do the project
  – Know costs for project or discipline-specific items
  – Have basic familiarity with sponsor & institutional regulations, & knowledge of specific FOA guidelines
  – Justify the budget request
  – Obtain any necessary approvals for cost share, waivers, course release, or unusual circumstances prior to routing internal forms
  – Provide a link to sub-recipient institution(s)
Who does what?

- **OSP will:**
  - Know rates (salary, fringe, tuition, F&A)
  - Have in-depth knowledge of sponsor and institutional regulations & specific FOA guidelines
  - Provide budget & budget justification templates
  - Calculate the actual budget
  - Assist with/facilitate any necessary approvals (e.g., course release, cost share, waivers, unusual circumstances) prior to routing internal forms
  - Gather sub-recipient budgets and associated materials
Cost Principles

Costs must be:

1. *Reasonable*

2. *Allowable*: permitted by sponsor and NIU regulations

3. *Allocable*: incurred solely to support the specific project being proposed, and necessary for its completion

4. *Consistent*: applied the same way on sponsored vs. non-sponsored projects
Basic Budget Components

- **Direct costs**
  - Personnel, fringe benefits, equipment, travel, materials & supplies, consultant services, publication/communication costs, subcontracts, other costs

- **Indirect (F&A) costs**

- **Cost-sharing**

- **Budget justification**
Direct Costs

• Personnel
  – Individual(s) employed and paid by NIU who have some level of responsibility for the direction/performance of the project.
  – PI/PD, co-PI/PD, faculty experts, graduate & undergraduate assistants, technical &/or professional staff
  – Not individuals employed outside NIU
  – Fringe benefits!
Direct Costs

• **Consultant**
  - A member of a particular profession or possessing a special skill, but not an officer or employee of the performing organization; typically with limited participation on the project (i.e., a few days a year)

• **Equipment**
  - An item of property with an acquisition cost of $5,000 or more and an expected service life of at least one year
Direct Costs

• **Participant Support**
  – Support for participants in conferences, workshops, summer camps, or other training experiences—not for research grants except as REU sites/supplements

• **Subcontracts**
  – Funds paid to an external organization to conduct a significant portion of the project, using their personnel and facilities
Facilities & Administrative Costs

• Also known as “indirects” and “overhead”
• Covers things like electricity, heat, water, lighting for buildings; library materials; OSP; standard software and general purpose materials that can’t be directly allocated to a specific project
• Rate determined by sponsor in accordance with institutional policy
Cost-Sharing

- Avoid cost-sharing except when required by sponsor or program guidelines (OSP can suggest alternate ways of showing institutional support)
- If a project involves cost-sharing, make sure your dean/director/department chair are all involved in the discussion
- Cost-sharing specified in a proposal is subject to audit and must be documented
Budget Justification

• Usually required at time of proposal submission
• Intended to provide a more detailed explanation of costs in the budget
• Also provides basis for rates and costs
• Only covers the budget that is submitted to the sponsor (and any cost-sharing, if included in that budget)
Working with OSP

• Your research development specialist (RDS) will help you develop budgets and ensure compliance with applicable university, sponsor, and legal requirements

• Call us early in the process: the sooner, the better, especially for cost-share, release time, subcontracts

• 15-day rule
Contracts & Industry

- **Contracts/Agreements:**
  - Contracts are procurement actions that directly benefit the sponsor. They often have terms and conditions that must be negotiated. The terms and conditions are dependent upon the contract type, work performed, and sponsor.
    - Research contracts
    - Cooperative agreements
    - Subaward/Subcontracts
    - Technical testing/consulting agreements
    - Material Transfer Agreements (incoming & outgoing)

  **REMEMBER:** Do not negotiate terms and conditions without OSP.
Contracts & Industry

• Key elements of a contract for a sponsored project will define:
  – Who are the contracting parties?
  – What is the nature of the work (Statement of Work)?
  – Who is performing the work, and where?
  – Effective period
  – Intellectual Property Rights
  – Cost/payment terms
    • Cost reimbursable
    • Fixed Price
Contracts & Industry

• Potential Red Flags
  – Arbitration
  – Dissemination (e.g., publishing!)
  – Governing Law
  – Hold Harmless
  – Indemnification
  – Insurance
  – Scope of work— DO NOT agree to best efforts/satisfactory performance
  – Termination
  – Warranty of Results
• NIU enters into contractual agreements with a variety of sponsors:
  – Federal
  – State
  – Non-profit agencies
  – Academic institutions
  – Municipalities
  – Corporate entities
## Contracts & Industry

<table>
<thead>
<tr>
<th>UNIVERSITY</th>
<th>INDUSTRY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-profit</td>
<td>For-profit</td>
</tr>
<tr>
<td>Teaching, research, outreach</td>
<td>Create value for investors/generate economic benefit</td>
</tr>
<tr>
<td>Protect IP rights/freedom to publish</td>
<td>Retain “Freedom to Operate”</td>
</tr>
<tr>
<td>Open environment/share knowledge</td>
<td>Preserve confidentiality/protect competitive advantage</td>
</tr>
</tbody>
</table>

Tip! Read the University-Industry Demonstration Partnership’s *Researcher Guidebook*. [www.uidp.org](http://www.uidp.org)

REMEMBER: Do not share cost information until budget has been vetted by OSP!
Managing Your Grants:
Award Acceptance & Post Award Administration

Rachael Yurs, Award Coordinator
Award Acceptance

- **Key points to remember:**
  - Awards are made to the institution, not the individual
  - Awards must be signed by either the Director of OSP or the Vice President for Research (VPR)
  - If you receive an award, please forward it to Rachael Yurs in OSP right away
Award Acceptance

Just-in-Time

• Some sponsors use a just-in-time process to secure additional information about the proposal prior to issuing the award. Information often requested includes:
  – Current & Pending or Other Support
  – Proof of approved compliance protocols (IRB, IACUC, IBC)
  – Proof of specific training (i.e. human subjects, animals, Financial Conflict of Interest)
  – http://www.orc.niu.edu/
  – Informal negotiation of scope and budget
OSP Award Review

Is the award amount the same as what was requested in the proposal?

Yes: Congratulations! OSP will continue to move the award forward for account set up
No: You’ll work with your RDS to revise the budget and if necessary, scope of work

Compliance Review - Are all necessary protocols in place?

IRB, IACUC, or IBC

Subawards

Institutional Endorsement, SOW, Budget & Justification
Grants/Cooperative Agreements:

- Terms and conditions associated with a grant are generally not negotiable. The goal is to highlight any unusual terms in order to ensure proper compliance.
- NSF RCR* Requirement
- Fly America Act
- Special Terms and Conditions (i.e. no foreign travel can be made without State Dept. approval)
- Specific Reporting Requirements

*Responsible Conduct in Research
Time to Spend!
Getting Your Grant Account

OSP will send a Notice of Award to:

- PI/Co-PIs
- Grants Fiscal Administration (GFA) – your new best friends
- Department Chair(s)
- College Dean(s)
- OSP Staff

The notice will include the following:

- Sponsor award notification
- Budget
- Basic award information
  (Separate GFA Notice of Award)
PROJECT DIRECTOR’S RESPONSIBILITIES

• Review your award, budget and any and all documents GFA may send to you.
• Know your assigned grant # when calling
• Initiate the required Payroll paperwork
• Start all procurement paperwork – Purchases, Consultant Agreements, Subawards
• Review your PeopleSoft reports on a regular basis
• The Project Director is also the Fund Advisor.
  – Only those on the Signature Card can sign/obligate award money
• If you’re spending money, GFA needs to sign off
• GFA double- and triple-check that the grant allows the expenditure
Navigating the Intersection of OSP & GFA

Award Coordination – Where Pre meets Post

• Contingency Fund Availability Form (CFAF)
  – Properly completed CFAF permits establishment of award, allowing PI to properly incur grant-related costs

• Making Changes to your original proposed project
  – Contact OSP/GFA alerting them of proposed changes BEFORE contacting the sponsor officer
  – Institutional Prior Approval System (IPAS) Action Form
Managing Project Changes: Best Practices

Changes are inevitable...It’s Knowing How to Manage the Changes That is Important.

- The Federal Office of Management and Budget (OMB) Circulars dictate what project changes will require prior agency approval and what changes may require prior approval.
- The OMB provides significant authority to the federal grant-making agencies to transfer the approval of certain project changes to the grantee (informally referred to as “expanded authorities”)
- It is NIU’s responsibility, as the grantee, to manage program to ensure project changes in managed in accordance with the award.
Managing Project Changes: Best Practices

Why Does it Matter?

• Changes that do not receive appropriate agency or institutional approval can result in:
  • Disallowed costs
  • Termination of the award
  • A-133 or agency-specific audit findings
  • Institutional sanctions
## Managing Project Changes: Best Practices

### Project Changes that Routinely Require Agency Approval

- Change of Principal Investigator (PI) or other key persons specified in award document
- Change of Grantee
- Change of Scope of Work (SOW) or Program Objectives
- PI absence for more than three continuous months or a >25% reduction in effort
- Need for additional funding
- Need to incur pre-award costs > 90 days prior to award
- 2nd No Cost Extension

### Project Changes that NIU can Routinely Approve

- Initial 12 month no cost extension beyond the original project end date
- Ability to incur pre-award costs <90 days of award
- Rebudgeting of allowable project costs (except for funds allotted to training allowances – e.g. stipends)
- Purchase project related equipment

*OSP and GFA will help you determine whether agency approval is necessary.*
Managing Project Changes: Best Practices

When Agency Approval is Required:

1. PI completes Institutional Prior Approval System (IPAS) form; submits to Department Chair. Agency request is attached to IPAS form with a signature block for Authorized Inst. Official.

2. Chair reviews proposed project change to determine any impact to department resources.

3. Chair endorses IPAS; PI submits to GFA for review and approval. GFA reviews for budget impact, allowability of change.

4. GFA forwards IPAS form and agency request to OSP for final institutional review, approval and submission of request to agency.

5. OSP sends e-notice via email to PI, GFA, and Chair acknowledging approval of request and submission to the agency. Request is tracked & filed in OSP. Agencies have thirty (30) days to respond.

6. Agency will notify OSP if the request is approved or denied. OSP sends e-notice via email to PI, Chair, and GFA acknowledging agency’s decision. OSP and GFA update records as appropriate.
All Things Must End....

Navigating the Intersection of OSP & GFA continued...

• Award Close-Out
• Final Progress Reports – OSP
• Final Financial Reports – GFA
Thank you for attending!

- Questions
- Meet & Greet
- Visit us at http://www.niu.edu/osp/
- Like us on Facebook

Northern Illinois University
Office of Sponsored Projects