KSU Sponsored Projects Overview

Sponsored Research Network for Department Administrative Staff

May 21, 2013
The Role of the Research Administrator
Engineering Research & Graduate Programs Office (ERGP)

• New research activity initiatives
• Proposal preparation
  – Untenured faculty
  – $1M+ proposals
• Sponsored projects training
  – Faculty & departmental administrative staff
• New ERGP website coming soon
Proposal Basics

• Faculty member responds to a Request for Proposal (RFP)

• Sponsor agency guidelines must be reviewed and followed carefully. Example: NSF CAREER RFP and NSF Grant Proposal Guide (GPG)

• Completed proposal packages are reviewed and submitted by the Office of PreAward Services
Common Elements of a Proposal

• Proposal elements can include:
  – Cover Page
  – Summary
  – Project Description and References
  – Budget and Budget Justification
  – Facilities and Administrative Costs
  – Subcontracts
  – Biographical Sketches
  – Current & Pending Support (C&P)
  – Resources, Equipment, and Facilities
  – Certifications, Assurances, etc.
Proposal Submission Process

- The Principal Investigator (PI) is typically responsible for the technical sections: project description and summary (and often the biosketch)
- Remaining proposal elements are completed by staff in PreAward Services or ERGP
- Modes of submission: NSF FastLane, Grants.gov, others
- Proposal documents are routed for review and eSign approval by faculty, dept. heads, deans, etc.
- PreAward Services charged with final review and submission
PreAward Services Office

• **Proposals:** prepare, review and submit
• **Awards:** review, negotiate terms, and sign agreements on behalf of K-State
• **Project modifications:** review and submit
• PreAward Services website: [http://www.k-state.edu/research/preaward/](http://www.k-state.edu/research/preaward/)
Post Award Basics

• Award requirements reviewed by PreAward Services to ensure terms meet university and State of Kansas policies and regulations

• Approved (signed) award moves to Sponsored Projects Office (SPA) for review of financial requirements and account assignment

• Financial award requirements administered by departments and Sponsored Projects Office
Sponsored Programs Office (SPA)

• Assign and activate fiscal accounts
• Submit financial reporting
• Maintain auditable records
• Monitor subawards and consultants
• Maintain effort reporting and cost sharing systems
• Prepare F&A Cost Rate proposal for the federal government (submitted every four years)
Other SPA Post Award Activities

- Effort reporting, cost transfers, cost share
- Financial Record Retention
  SPA retains financial records for three years after submission of the final report or final cash received. Exception: sponsors who specify a longer record retention period.
- Ensure projects meet Office of Management and Budget (OMB) Circulars (federal sponsored project requirements)
- Provide oversight for consultants, subawards and professional resources
- SPA 101 documents (January)
- Sponsored Projects Office website:  
  http://www.k-state.edu/finsvcs/sponsoredprograms/
More about Sponsored Projects

• Transmittal Sheet (SP001)
• Determining F&A Costs
• Subawards
• Modifications and Amendments
• Schedule of Charges
• Federal Post Award Administration
Transmittal Sheet (SP001)

• **Purpose:** official form summarizes project information and records of approvals:
  – Lead PI, co-PIs, and their departments
  – Project title
  – Sponsor name and program
  – Project dates
  – Funding amounts
  – Internal matching sources
  – Allocation of IDC and reporting
  – Approvals: administrative, programmatic, compliance (page 2)
  – Signature approval via eSign system
    [http://www.engg.ksu.edu/research/EES/esign/index.htm](http://www.engg.ksu.edu/research/EES/esign/index.htm)
F&A Costs

- Different terms, same definition:
  - F&A: Facilities and Administrative cost rate
  - SRO: Sponsored Research Overhead
  - Indirect costs

- KSU indirect rate agreement effective 07/01/12 to 06/30/16
  - [http://www.k-state.edu/research/preaward/indirect.htm](http://www.k-state.edu/research/preaward/indirect.htm)

- College of Engineering F&A cost distribution rates
  - [http://www.engg.ksu.edu/research/EES/postaward/index.htm](http://www.engg.ksu.edu/research/EES/postaward/index.htm)
Subawards

- Transfers a portion of the project or effort of the prime award to another organization consistent with the terms and conditions of a prime award by subaward (also called subcontract) or consultant agreement.
- Sole source:
  - Service exceeds $5000 or more in the proposal budget
  - Must be named in proposal as the only source for the desired supplies or services, or is uniquely qualified to perform the desired services because of location, reputation, and expertise.
  - Must be approved through Purchasing in the Division of Financial Services
- Consultants, subawards and other professional service resources
  - [http://www.ksu.edu/finsvcs/sponsoredprograms/consulsubs](http://www.ksu.edu/finsvcs/sponsoredprograms/consulsubs)
Modifications or Amendments
(Non financial post award activities)

• Project modifications or amendments
  – Change in Principal Investigator
  – Change in scope of work
  – Change in period of performance (time extension)
  – Budget revision
  – Carryover of funds
  – Other contractual terms and conditions

• OPAS Form (Organizational Prior Approval System)
Schedule of Charges (SOC)

- Departmental or internal charges such as equipment use fees
- Sponsors require documentation for all costs in a budget including internal costs
- Charges from an SOC are used on sponsor budgets for service or equipment use including services from other departments.
- Examples: evaluation services (OEIE), equipment use needed from another department of College
Federal Post Award Administration

  - OMB Circular A-21, Cost Principles for Educational Institutions
    - Section J, General provisions for selected items of cost. Important section to help determine unallowable costs.
  - OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations
  - OMB Circular a-133, Audits of States, Local Governments and Non-Profit Organizations
Sponsored Projects Overview Handout

• Details the “cradle to grave” process of the K-State sponsored projects system

• Includes:
  – General overview of preaward activities, financial post award administration, project modifications, subaward and consultant services
  – Resources and Websites
  – Definitions, Terms, and Additional Information
  – Commonly-used Acronyms
Contacts

• PreAward activities:
  – ERGP for untenured faculty and $1M+ proposals:
    Carole Lovin, ERGP, Research Administrator
  – PreAward for all other proposals:
    Namrita Berry, PreAward Services, grant & contract administrator for College of Engineering

• Post award activities:
  – Sponsored Project Office representative

• Post award non-financial activities:
  – Cecelia Scaler, PreAward database and project modification specialist