

Life on the Tenure Track

Grants 101 – Part 1:
The Roadmap
Tuesday, February 3

The Roadmap: Introductions

- Elizabeth Rapisarda, Research Administration (moderator)
- Shellie Richards, Department of Chemistry
- John Childress, Division of Sponsored Research (DSR)
- Michelle Vazin, Office of Contract & Grant Accounting (OCGA)
- Dennis Hall, Research & Graduate Education

The Roadmap: Agenda for Today

- Overview - Elizabeth
- Department/School Perspective - Shellie
- Pre-Award Activities - John (DSR)
- Post-Award Activities - Michelle (OCGA)
- Institutional Perspective - Dennis
- Q&A

Who's in Charge?

- Chancellor = President = CEO
- 1 Board of Trust
- 8 Vice Chancellors (i.e., VPs)
 - Provost handles non-Medical Center academics
 - Medical Center has both research and clinical enterprises
 - Remaining VCs provide institutional support across campus

Research Funding

- Internal funding
 - Office of the Associate Provost for Research
 - Discovery Grants & Research Scholar Grants
 - www.vanderbilt.edu/dsr/intramural.php
- External funding
 - Federal agencies
 - Corporations, foundations, & associations
- Further discussions, Part 2 – February 10

Who Do You Call?

Dean	Associate Provost	Associate Vice Chancellor
Department Chair	Division of Sponsored Research	Contract & Grant Accounting

Answer: It Depends!

Getting Started

Departmental Perspective

Shellie Richards
DEPARTMENT OF CHEMISTRY
College of Arts & Science

Departmental Role

- Grants are initiated, assembled & submitted
- Grant awards are setup (center number is assigned)
- \$\$\$ is tracked and reconciled
- Progress reports are initiated & submitted
- Grants closeouts are prepared & sent

The Department is a liaison to

- Dean's office
- Division of Sponsored Research
- Office of Contracts & Grants Accounting
- Other Departments
- Office of Technology Transfer
- Companies/Foundations/Agencies

What you can do

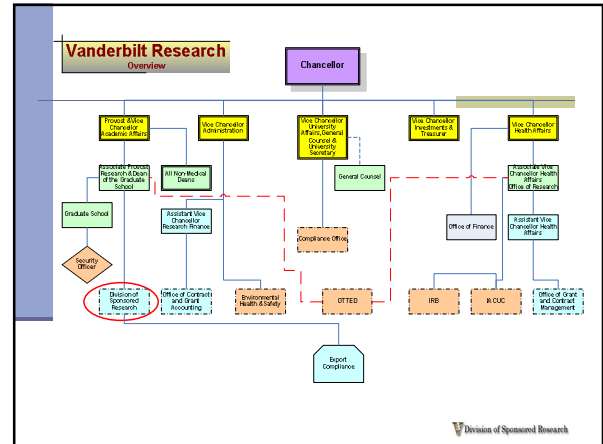
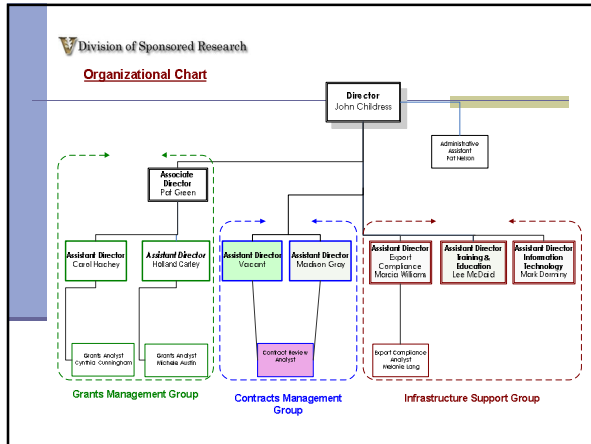
- Apprise your administrator/dept of upcoming deadlines
- Communicate regarding potential contracts with companies
- Alert them to any erroneous costs or transfers that should be made
- Communicate in advance regarding personnel changes or new personnel

What your Departmental Admin can do for you

- Communicate regarding changes in VU or agency policy
- Interpret VU & agency policies/guidelines
- Provide education on the electronic submission mechanisms changes & updates
- Initiate personnel changes and transfers to grants
- Provide monthly summaries of grant activity

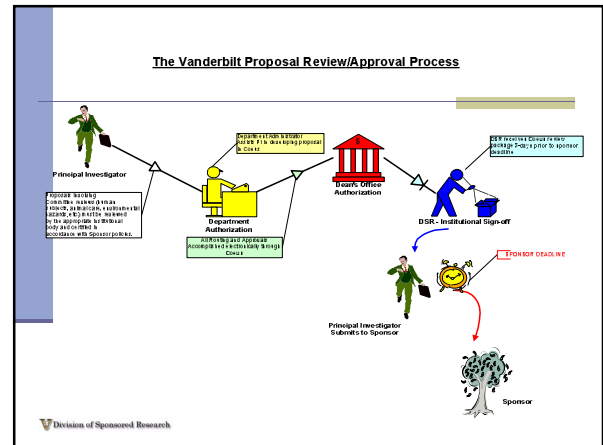
Pre-Award Essentials

John Childress
Division of Sponsored Research (DSR)



Vanderbilt Research

- **Vanderbilt University Sponsored Activity**
- **Fiscal Year 2008**
 - Total Sponsored Research & Programs: \$519 million
 - Total Non-Medical Schools and Colleges: \$103 million
- Vanderbilt University is ranked **20th** by the National Science Foundation in Federal funding for science and engineering research and development.
- Approximately 3,000 proposals per year

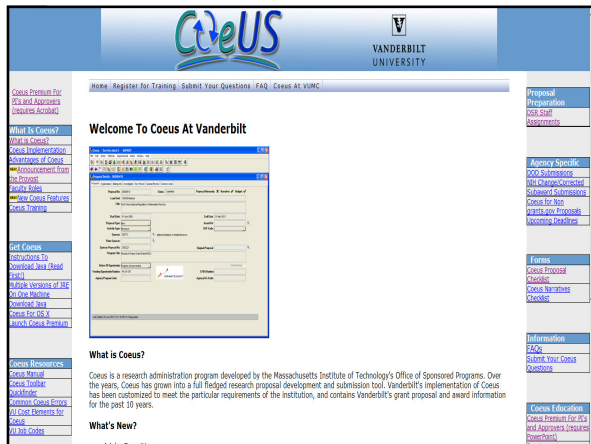


Submitting a UCentral Proposal

- **Principal Investigator**
 - Develop proposal – current sponsor guidelines
 - Developed in **COEUS** (electronic preparation, approval routing, & submission)
 - Secure compliance committee approval – IRB, IACUC, etc.
 - Advanced approval for cost-sharing
 - Advises DSR regarding export-control related issues

Submitting a UCentral Proposal

- **Department**
 - Preparation support
 - COEUS
 - Chair review and approval



Submitting a UCentral Proposal

- **Dean**
 - Cost-sharing
 - Proposed budget
 - Extraordinary physical arrangements

Submitting a UCentral Proposal

- **Division of Sponsored Research (DSR)**
 - University approval
 - Review for compliance issues
 - University policies – COI, committee approvals, export-control, etc.
 - Sponsor policies
 - 3-day advance receipt of COEUS approval package
 - PI submits proposal via COEUS

Post-award Management by DSR

- All non-financial compliance issues
- Review & approve award budgets => Contract and Grant Accounting
- Develop Subcontracts
- Negotiate Contracts
- Export Compliance

DSR Resources

- www.vanderbilt.edu/dsr/dsrhome.php
 - COEUS
 - Department/unit assignments
 - Proposal preparation information
 - Internal Grant Competitions
- **Main phone number – 322-2631**
- sponsored_research@vanderbilt.edu

Post Award Processes

Michelle Vazin, Contract and Grant Accounting Office (OCGA)

Post Award Processes – Getting Started

- Award Set Up
- Requesting funds from sponsor
- Prescreening of transactions
- Financial Reporting to Sponsors
- Fixed Assets Monitoring & Inventory

Post Award Processes – Compliance

- Monitoring of High Risk transactions
- Monitoring of Cost Transfers
- Monitoring of Effort Reporting
- Coordination of Audits

Post Award Processes – Related Activities

- Facilities & Administrative Rates (e.g. F&A rates, indirect costs, overhead)
- Fringe Benefit Rates
- Service Center Rates

Post Award Processes – Resources

- OCGA Website:
 - <http://www.vanderbilt.edu/ocga/>
- Financial Research Policies
- Training
- OCGA Staff

Post Award Processes

Questions?

Contact Information:
Michelle Vazin
Office of Contract & Grant Accounting
Telephone: 343-1558
michelle.vazin@vanderbilt.edu

Institutional Perspective

Dennis Hall
Associate Provost for Research
Dean of the Graduate School

High Altitude: Vanderbilt University Graduate Education

	2001	2008
■ Graduate applications*	2,709	5,968
■ Offers of admission	974 (36%)	938 (15.7%)
■ First-time enrollments**	387 (40%)	455 (48.5%)
■ Number of graduate students	1,670	2,130
■ PhDs awarded	168	252
■ External funding (total)	\$217,600,000	\$542,000,000

*Complete applications.

**Acceptances minus no-shows.

Roughly 2/3 of students are in grant-based fields.

12 Universities in Top-25 on Each of Two Lists, 2008

Top-25 on Both Lists	USN&WR ranking*	Federal R&D Obligations Science/Engineering R&D**
Harvard University	1	11
Yale University	3	16
MIT	4	13
Stanford University	4	8
Univ. of Pennsylvania	6	4
Columbia University	7	7
Duke University	8	6
Washington University	12	12
Cornell University	14	22 (all campuses)
Johns Hopkins University	15	1
Vanderbilt University	18	20
UCLA	25	5

* repeated numbers indicate tie (2007 data)
 ** most recent (FY2006) data

13 Universities in Top-25 on Each of Two Lists, 2007

Top-25 on Both Lists	USN&WR ranking*	Federal R&D Obligations Science/Engineering R&D**
Harvard University	2	10
Yale University	3	15
Stanford University	4	6
Univ. of Pennsylvania	5	3
MIT	7	16
Duke University	8	8
Columbia University	9	9
Washington University	12	12
Cornell University	12	19 (all campuses)
Johns Hopkins University	14	1
Vanderbilt University	19	23
UCLA	25	4
Univ. of Michigan, Ann Arbor	25	5 (all campuses)

* repeated numbers indicate tie (2007 data)
 ** most recent (FY2005) data

How does one gain access to funding provided by the Research Scholar Grant and Discovery Grant programs?

- Tenured and tenure-track faculty in University Central (and faculty holding equivalent ranks in the Blair School of Music) are eligible to apply for support under these two programs.
- Both programs emphasize the awarding of funds on a competitive basis. Within each of the two programs, there is a single call for proposals that is announced annually, usually in September; the majority of the funding available each year in each program is awarded as part of that program's annual competition.
- Faculty are encouraged to read carefully the description of each program to become familiar with these internal-funding opportunities. Current program information and application deadlines can be found at the following website for the Division of Sponsored Research:
 - <http://www.vanderbilt.edu/dsr/intramural.php>.
- Awards in both programs are usually announced in early April.

Does Vanderbilt provide assistance with publication of faculty-authored books (i.e., subventions)?

- It is important for Vanderbilt faculty to publish their work.
- In cases where special circumstances make it necessary for faculty to seek publication-assistance funds, faculty are encouraged to do so through their deans and through the Research Scholar Grants Program.
- The Faculty Development Grant category of the Research Scholar Grant Program invites, among other things, "requests for financial assistance with the publication of an important book."

How successful has the University been in attracting external funding?

- The University has experienced unprecedented growth in extramural funding, something that has been recognized in a number of rankings. For instance, Vanderbilt's rank on the government's list of (all-agency) Federal Obligations (i.e., grant/contract awards) for Science and Engineering Research & Development has gone up steadily, as shown on the list below.
- Note that this ranking has a built-in two-year lag. For instance, the list released in 2008, on which Vanderbilt ranked #20, is based on the data for 2006.

Year	Rank	Based on	Year	Rank	Based on
2001	#39	FY1999	2005	#24	FY2003
2002	#38	FY2000	2006	#23	FY2004
2003	#31	FY2001	2007	#23	FY2005
2004	#25	FY2002	2008	#20	FY2006
- Total external awards made to Vanderbilt during FY2008 exceeded \$500 million. In the Provost's domain, excluding the Medical Center, external funding for research doubled between 2000 and 2005, for an average annual increase of approximately 14%.

Wrap-Up

- Any other questions?

Recap: Web-Based Resources

- Research at VU
 - www.vanderbilt.edu/research.html
- Research Policy & Administration
 - www.vanderbilt.edu/research_policy.html
- DSR
 - www.vanderbilt.edu/dsr/dsrhome.php
- OCGA
 - www.vanderbilt.edu/ocga/index.htm