Thursday, October 24th, 2019

GRANT MANAGER
OCGA
SPA
MEETING
AGENDA

Introduction
- Poll Everywhere
  - WEB: Pollev.com/laurelduncan133
  - TEXT: laurelduncan133 to #22333 to join

SkyVU

Research & Development Support

OCGA

SPA
  - Training Tidbits
    - Proposals and Awards
    - Subcontracts
    - Contracts
TO Strategic Proposal Support:
Exit 1 Federal → RDS
Exit 2 Industry → CTTC
Exit 3 Foundations → C&FR

TO Limited Submission Opportunities:
All Exits → LSO+
OVPR LSO+ Process Diagram

- **16 WEEKS***
  - LSO Posted
  - ApplicationsSubmitted
    - Applicant # > Sponsor Limit
    - Competition Review
    - LSO+ Committee Members (and Ad Hoc Reviewers, if needed) Review and Make Recommendation
    - OVPR Sends Decisions with Reviewer Feedback to Applicants and Associate Deans
  - Applicant Prepares Submission to Sponsor
  - Applicant Submits Final Proposal to SPA

- **12 WEEKS***
  - Process is coordinated with Office of Academic and Faculty Affairs for select prizes and awards.
  - Applicant # < Sponsor Limit
  - OVPR Approves Applicant to Submit

- **8-10 WEEKS***
  - Process is coordinated with VUMC when sponsor will not accept separate submissions.
  - Applicant Prepares Submission to Sponsor

- **7 DAYS***
  - Applicant Submits Final Proposal to SPA

*Time prior to sponsor deadline

**OVPR**: Office of the Vice Provost for Research  **SPA**: Sponsored Programs Administration
Process for LSOs was reestablished in 2017, creating LSO+ with 3 main goals:

- Run LSOs well ahead of deadlines to give faculty time to develop competitive proposals
  - We usually try to announce competitions 16 weeks in advance of deadline
- Assign reviewers who:
  - Represent the schools of the applicants
  - Have the relevant technical expertise
  - Have knowledge of the sponsor or opportunity
- Provide meaningful reviews that help applicants improve their submissions
ATTRACTING CANDIDATES – A COMMUNITY EFFORT

- LSO opportunity announcement emails are sent to relevant Associate Deans for Research; to VU LSO email listserv; and at times, Center Directors and/or Department Chairs
- MyVU runs an announcement (for foundation opportunities)
- VU Corporate & Foundation Relations is notified in advance of upcoming opportunities monthly
- School of Medicine-Basic Sciences receives a biweekly table with relevant open and upcoming opportunities
- The OVPR website (vu.edu/lso) is updated at all times with currently open opportunities and past opportunities for last 12 months
- Communicate with the Graduate School and the Office of Faculty Affairs on key opportunities
SIGN UP TO GET LSO ANNOUNCEMENTS

- Join the LSOs Listserv from vu.edu/LSO or open your phone camera and zoom in on this QR code.
- Android users: when you zoom in also hold down your Home button
LSO+ REVIEW PROCESS

• 3 people are asked to independently review applications
  • 2 week review period (sometimes shorter depending on sponsor timeline)
  • Invitation to review will include sponsor review criteria and links to previous awardees (if available)
  • Materials typically consist of a 2 pg. narrative, CV, and letter of support
  • Provide numerical ranking and brief comments on strength/weakness of each application
  • Usually 2-4 apps per review, sometimes higher (up to 10)

• If the competition is VU-only, then InfoReady
• If joint with VUMC, reviews through email
LSO NOMINATION COMMUNICATIONS

• Once a nominee is selected or approved without review, the following are notified:
  • The applicants (who receive feedback they can use to improve their submission)
  • Relevant department chairs
  • Relevant Associate Deans for Research
  • Corporate & Foundation Relations (if foundation opportunity)
  • Sponsored Programs Administration
VU LSO+ REVIEW COMMITTEE

2018-2020 LSO+ Review Committee

David Merryman
Biomedical Engineering

Bonnie Miller-McLemore
Religion, Psychology, & Culture

Shelagh Mulvaney
Nursing

Ann Richmond
Pharmacology

Robert Scherrer
Physics & Astronomy

Mark Schoenfield
English

Richard Simerly
Molecular Physiology & Biophysics

Robert Webster
Mechanical Engineering

Christopher Wright
Cell & Developmental Biology

John York
Biochemistry
Rebecca VanDiver and Phillip Lieberman were awarded NEH Summer Stipends for summer 2020.

Pamela Schneller was awarded a workshop grant from the ACMP. The funded workshop was held July 11-13, 2019 at the Blair School of Music.

Mark Wallace and Keivan Stassun (co-PI) were awarded the NSF NRT in 2019 for Neurodiversity research and training.

Mikail Rubinov won the 2019-2020 ORAU Ralph E. Powe Jr. Faculty Enhancement Award.

The Wond’ry won a VentureWell Faculty Grant in 2019.
RESEARCH DEVELOPMENT AND SUPPORT

• Offers proposal development assistance for strategic federal opportunities
  • LSOs supported in the past: NEH Summer Stipends, NSF NRT, NSF AISL, NIH Biomedical Facilities, NIH MARC
  • Provides guides and boilerplate language for key proposal sections
  • Should we also post strong LSO proposals on LSO website as examples? (behind VUnet ID login, only with PI permission, and with sensitive information redacted).

• Connects faculty with External Sponsors
• Coordinates federal engagement of faculty with Lewis-Burke
• If faculty awarded, then Export Compliance helps protect research, assist with faculty travel, and facilitate foreign scholar collaboration
QUESTIONS?

Contact vu-lso@vanderbilt.edu for all questions and comments
PROPOSALS & AWARDS TEAM
AWARD ACCEPTANCE PROCESS

Not talking about:

Anything already identified as a contract
Anything that doesn't require a signature/acceptance by VU

Applies to:

New awards - those requiring review and acceptance
Continuations requiring signature/approval of terms

SPA WILL MAKE THE DETERMINATION

SPA receives Notice of Award

Contract

Grant
NEXT STEPS - AFTER INITIAL SPA REVIEW

If it will be treated as a contract
• SPA will forward the award notification to the department with directions to create a contract request.
• Will be assigned to a contract analyst/officer and will continue to follow the contract path.

If it will be treated as a grant
• SPA will create an “Award Acceptance” peer log.
• SPA will work with necessary parties to review and have the award signed/accepted, e.g. actual signature, online portal, etc.
• SPA will return signed award to sponsor and copy PI and department on email.
SOME THINGS TO REMEMBER

• If you have a question as to what path an award will take - please contact SPA.

• SPA will make the determination as to if the award will be considered a grant or contract in regards to internal processes.

• Some awards that we consider grants will still go through review with the contracts team. For example - terms and conditions in a foundation grant. SPA will make the proper review to protect the PI and Vanderbilt.
CONTRACTS & SUBCONTRACTS TEAM
What is the Federal Demonstration Partnership (FDP)?

- **WHO**: A cooperative initiative among 10 federal agencies & 154 institutional recipients of federal funds
- **WHAT**: A public website & online system
- **WHY**: An effort to reduce administrative burden – to streamline the administration of federally sponsored research
- **Several phases**: FCOI Clearinghouse & FDP Expanded Clearinghouse
- **FCOI Compliant Entities**
  - 1258
- **FDP-Expanded Clearinghouse** includes approximately:
  - 234 institutional members (e.g., VU & VUMC), Emerging Research Institutions (e.g., Loyola University of Chicago)
  - Federal Agencies (NIH, NSF, USDA, NASA, EPA...) & Affiliate Members (NCURA, SRA, AORDP)

Why does it matter?

It makes the subawarding process quicker, easier and less risky.
WHAT DOCUMENTATION IS REQUIRED WHEN?

OUTGOING SUBAWARD (SPA prepares subaward agreement draft) -
1. @ GRANT PROPOSAL submission through COEUS & PEER G Log — CONTRACT REQUEST through G Log in PEER (for Subcontracts Team to begin work)

2. @ ADD-ON SUBRECIPIENT REQUEST through PEER
   - “Log an Add-On Sub” option under “Grants, Proposals & Awards” — CONTRACT REQUEST through G Log in PEER (for Subcontracts Team to begin work)

INCOMING SUBAWARD (Other Party prepares subaward agreement draft) -
1. @ GRANT PROPOSAL submission through COEUS & PEER G Log —@ CONTRACT REQUEST through PEER through G Log (for Subcontracts Team to begin work)
DONT’T FORGET TO INCLUDE: OUTGOING SUBAWARDS –

DEPARTMENT submits with EVERY OUTGOING Subaward –

@ Proposal in COEUS
1. Subrecipient Statement of Collaborative Intent (SSCI) – possibly requiring the submission of the "Subrecipient PHS Financial Disclosure & Training form” depending on responses to the SSCI (page 2 for non-FDP institutions).
2. Subrecipient Budget which includes Period of Performance
3. Subrecipient Budget Justification
4. Subrecipient Statement of Work (SOW)

@ Contract Request in PEER (once your PI receives the Prime Award)
1. Items #1-4 above PLUS the Prime Award NOGA

Maybe –
• IRB Approval letter
• IACUC Approval letter
• Multi-PI Plan
• Sharing/Resource Plan
DON’T FORGET TO INCLUDE: INCOMING SUBAWARDS –

DEPARTMENT submits with EVERY Incoming Subaward –

@ Proposal in COEUS
1. Letter of Intent (the other institution’s form or a commitment letter)
2. Your Budget for the Other Party’s Project includes Period of Performance
3. Your Budget Justification
4. Your Statement of Work (SOW) for the Other Party’s Project

@ Contract Request in PEER (once OP has provided you with a draft agreement)
1. Draft agreement which includes items #2-4 PLUS the Other Party’s NOGA
Dear Vanderbilt University Department-Research Administration:

We have received the SSCI based on feedback from both VU Departments and REDCap.

In order to streamline our processes and abide by IBD guidelines, we have created the following:

- Project-specific Form: Form ID number 1234 (hypothetical)
- Form-specific Exclusions for proposals that meet the requirements
- REDCap data model for proposals
- VU's Uniform Guidance Form for proposals

Our internal method for collecting the information & data needed to assess risk to comply with Uniform Guidance (2 CFR §200).

Thank you, VU.

*Please note: All REDCap forms must be submitted through the REDCap interface.
Budget Justification

A budget justification is the narrative explanation of the budget. Each line item in the budget should have a justification. A good budget justification will help minimize a sponsor’s questions and avoid harmful budget cuts. It is a narrative explanation of the budget that helps the sponsor evaluate the reasonableness of the budget. It is required for all proposals.

SOW VS BUDGET JUSTIFICATION

Statement of Work

The Statement of Work (SOW) is a document that describes all essential and technical requirements for the effort to be performed, including standards to be used to determine whether the requirements have been met. This document may:

- Reporting requirement and/or other deliverables
- Resources (if any) to be furnished to the subcontractor
- Personnel requirements
- Workload requirements
- A list of detailed work requirements
- Period of performance
- Objective or purpose

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HOW TO INITIATE A CONTRACT REQUEST WHEN THERE IS NOT A COEUS PROPOSAL:

**STEP 1.** Click the “Contracts Tab” in the top menu bar

**STEP 2.** Then go to “+ New Request”

**STEP 3.** Finally, Click “Create Request”

i.e., unfunded contract
Data Use Agreements

A Data Use Agreement may be needed when there is a transfer of certain types of information to Vanderbilt University from an outside entity. Data types that may need a DUA might include human subject data, which is protected under the Health Insurance Portability and Accountability Act (HIPAA) [including Protected Health Information (PHI)] as defined by the Family Educational Rights and Privacy Act (FERPA), and personally identifiable information (PII). This includes, but is not limited to, demographic data, contact information, and biometric identifiers.

Completion of this REDCap form will assist in assessing contracting and information security needs in order to receive data in a manner according to regulations and University compliance requirements. Please include a pdf of the form (which will be emailed to you upon completion) in a new PEER Contract Request along with a copy of the draft Data Use Agreement.
No meeting in November or December

2020:

**January 23rd**
OCGA presenting on Close-outs

**February 27th**
Development & Alumni Relations (DAR)

**March 26th**
Conflict of Interest (COI)
IF TIME PERMITS - COEUS BUDGET TIPS

• When using the NIH salary cap, please remember the following items:
  o For 9-month faculty, only enter their base salary as $144,225 (based on current NIH Cap – FY19)
  o For CY faculty and personnel, if over the cap, enter $192,300 (based on current NIH Cap – FY19) Do not click on the Calculate All Base Sal button in the running man for salaries at the cap, as no inflation will be applied.

• For detailed budgets - when entering student tuition or health insurance, make sure to change the category to Other Operating Expenses, as it defaults to Participant/Trainee Support Costs and this is the incorrect category unless it is a proposal that requires or allows participant support costs, and then it can only be utilized if it is an allowable expense in terms of the FOA guidelines.
• NSF participant costs:
Trainee costs are for trainees only and for their stipend/travel only. NSF has scrutinized heavily and must be justified. All other costs should be under direct costs. They need to refer to the PAPPG for questions/guidance.