



Cornell University

Office of Sponsored Programs  
Research Administration Roundtable

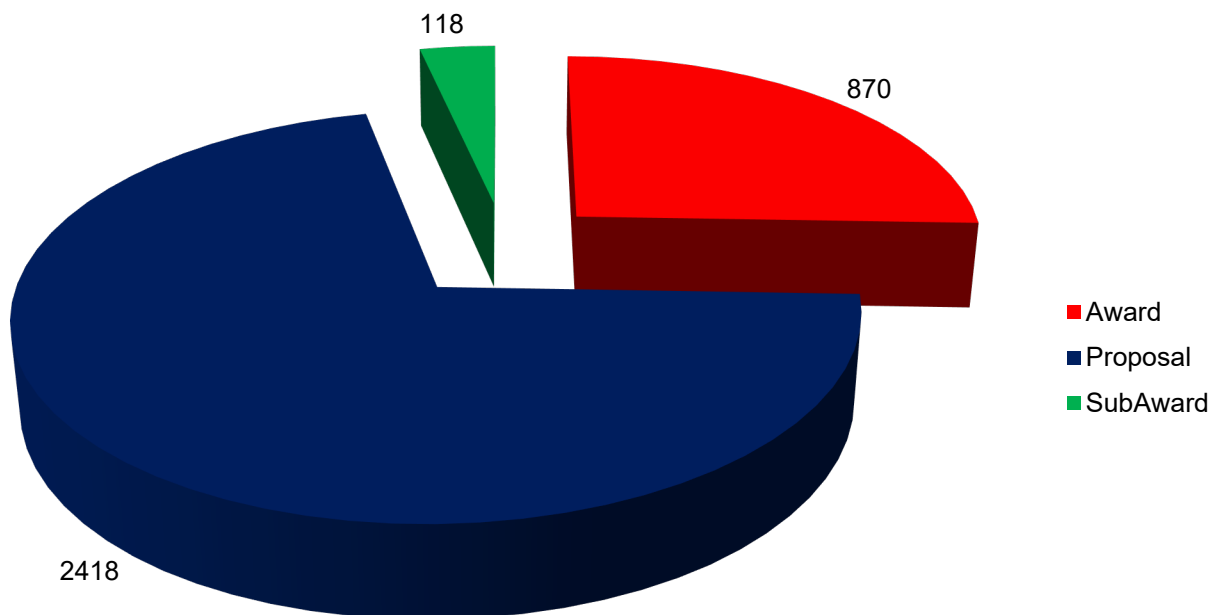
# *Research Administration* What's it all about?

**Christine Ashdown**  
**Office of Sponsored Programs**



## What is Research Administration? (Why do we do what we do?)

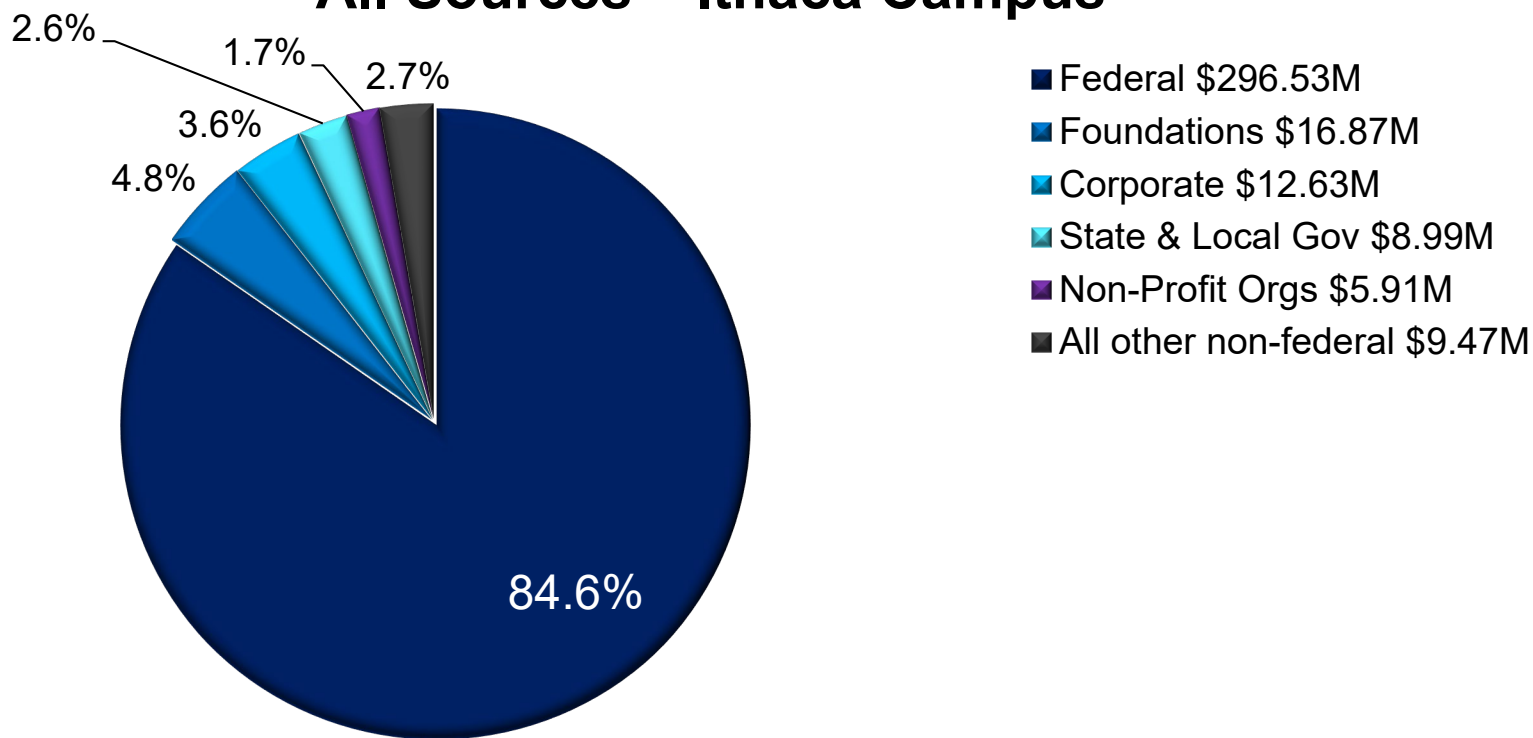
### Sponsored Project Activity 2014 (Fiscal Year)\*



\*Excludes Material Transfer Agreements, Non-disclosure Agreements and restricted Access Data Set Agreements



## Sponsored Research Expenditures FY 2013 All Sources – Ithaca Campus





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# 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)

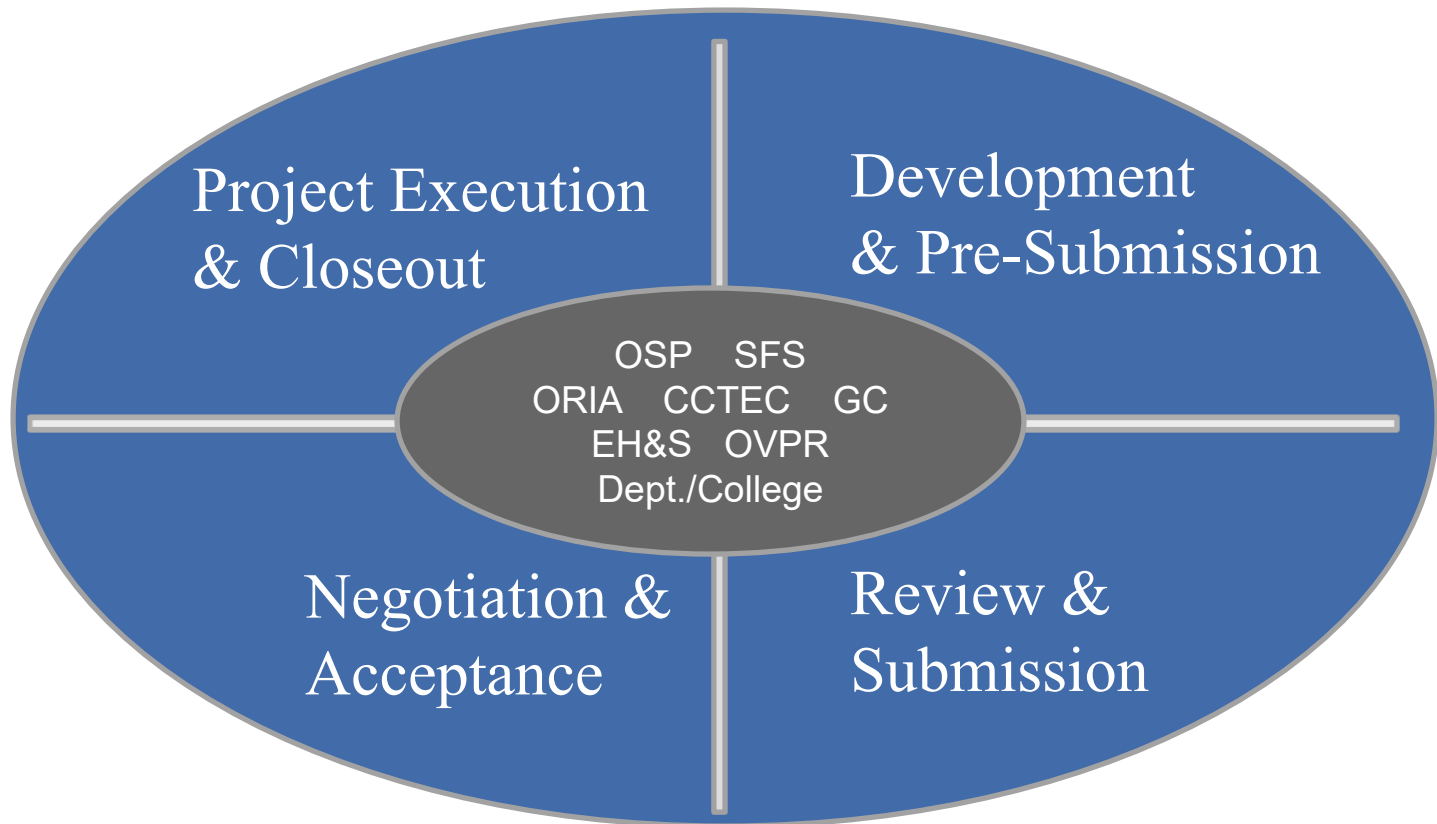
Literature cited

Current and Pending Support

Other: Support Letters, Subrecipient documents, etc.



## Sponsored Programs Lifecycle



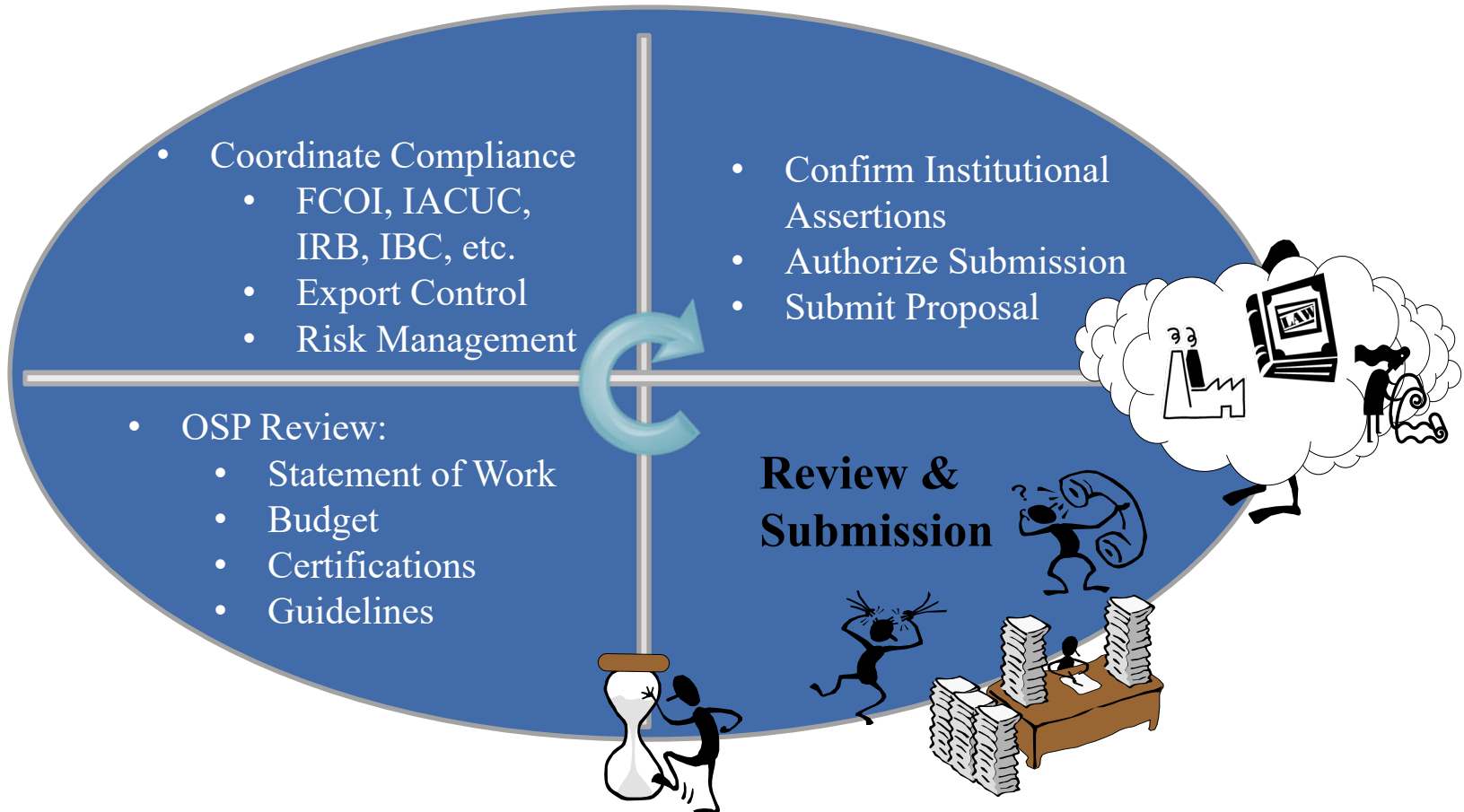


## Sponsored Project Lifecycle: Stage 1 – Prepare to Submit



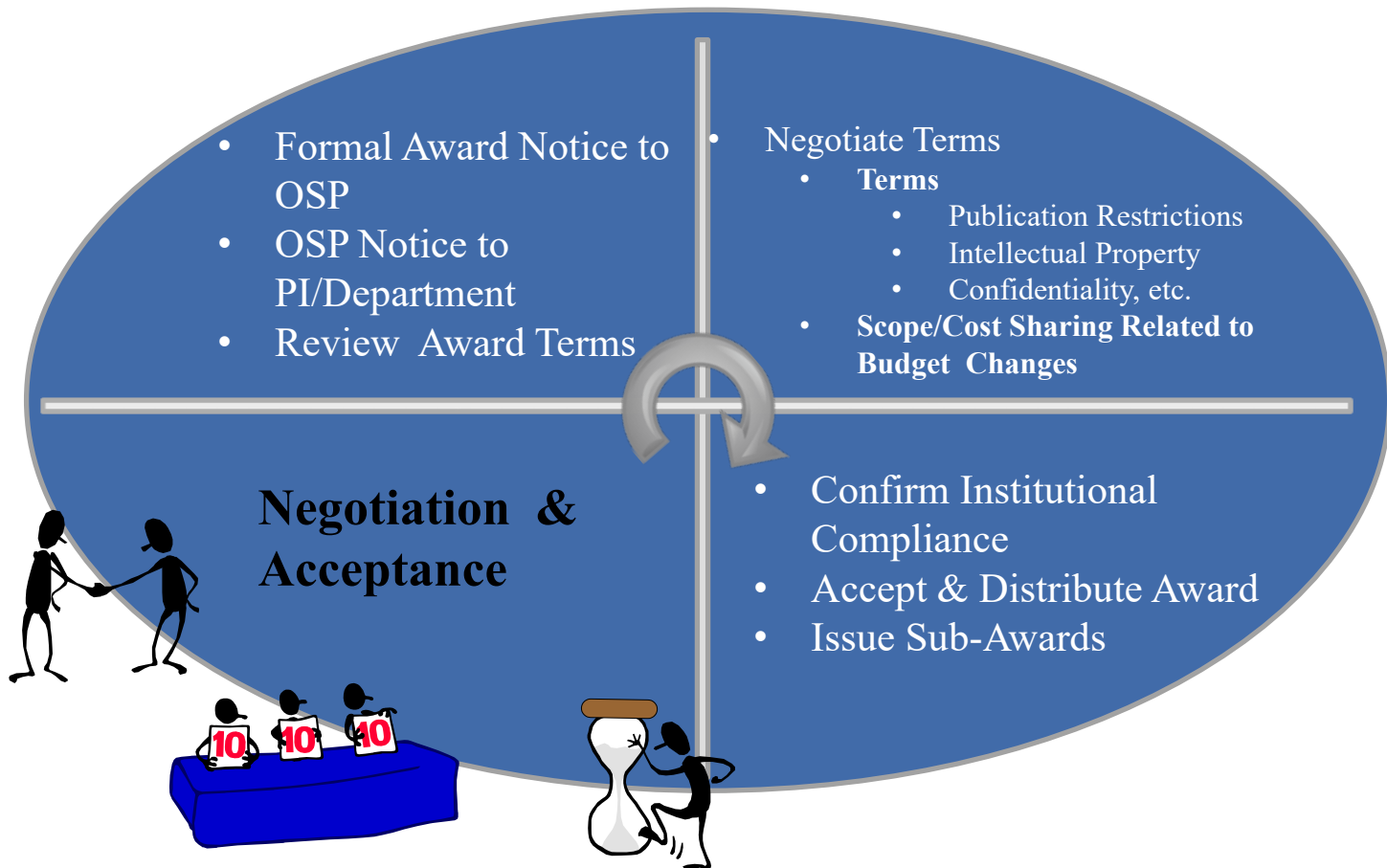


## Sponsored Project Lifecycle: Stage 2 – Review and Submit



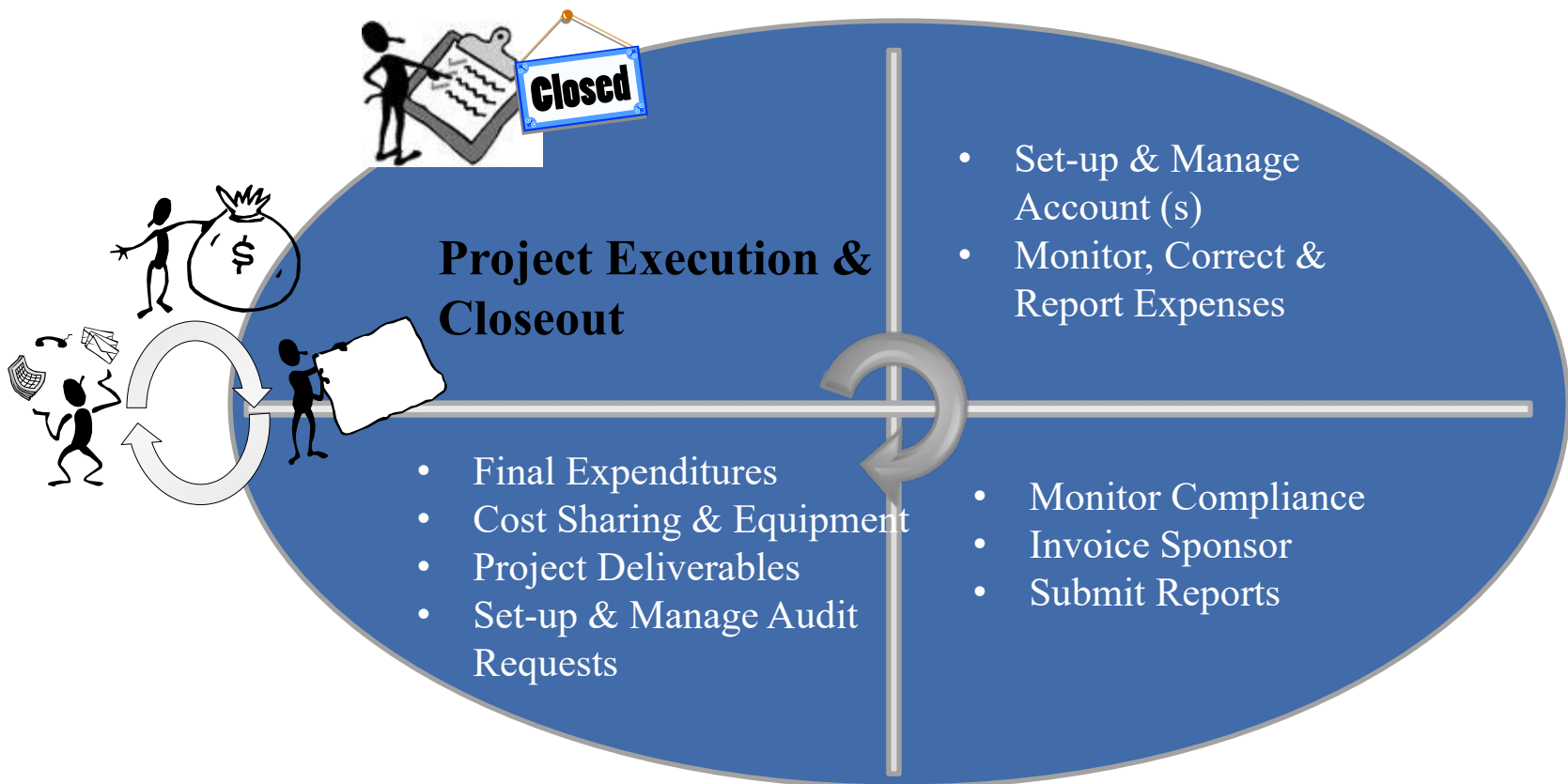


## Sponsored Project Lifecycle: Stage 3 – Negotiate and Accept





## Sponsored Project Lifecycle: Stage 4 – Execute Project and Close Out







# 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



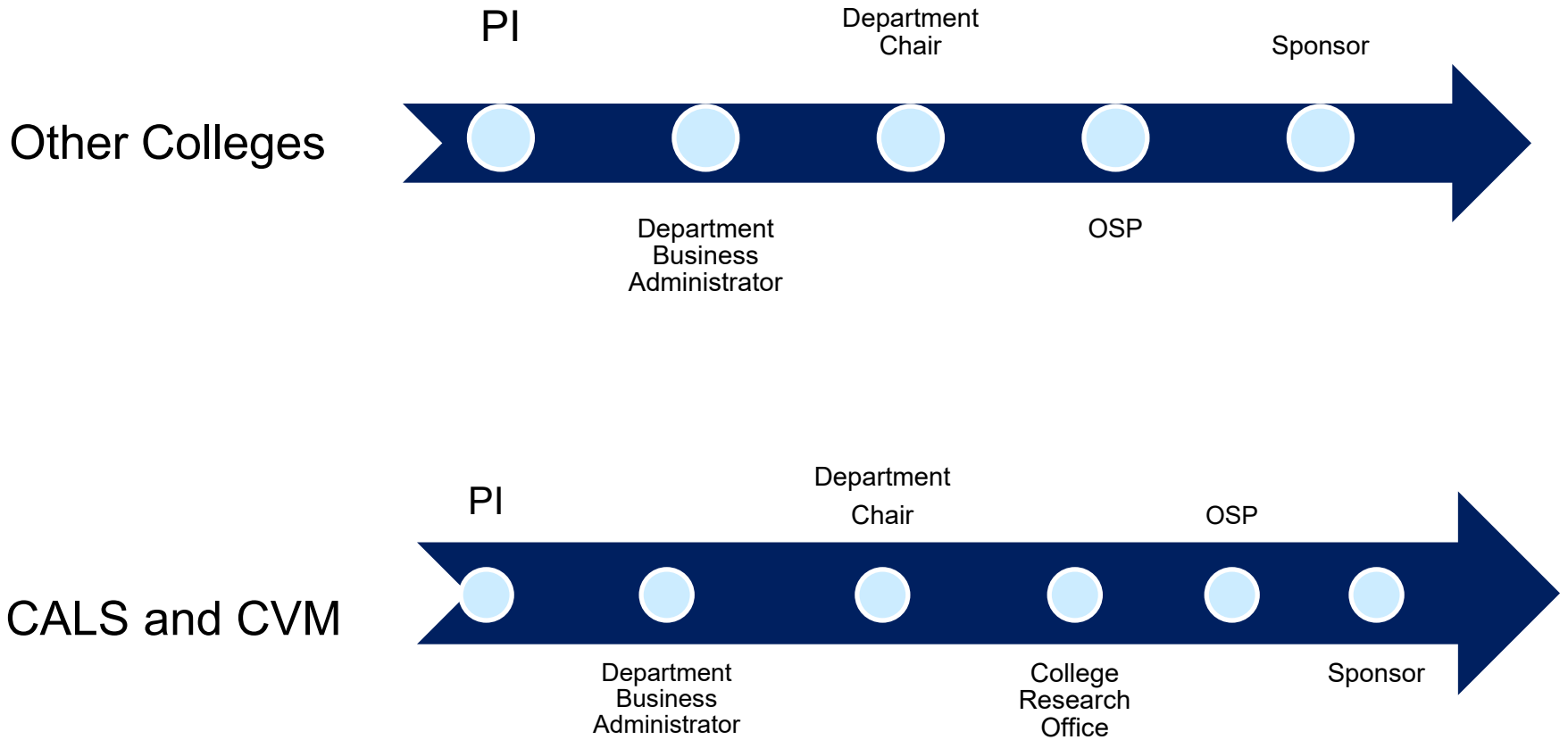
# Policy Considerations

- 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?



# Proposal Workflow at Cornell





# 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