Sam Houston State University

Office of Contracts and Grants

Research Administration Presentation
January 2008
Main Objectives

From Proposal to Project Initiation

Understanding Pre- and Post-Award Responsibilities

“Where’s My Account Number?”

PI Responsibilities

Things to Remember

Sponsors Want to Know

Red Flags/Consequences of Non-Compliance
From Proposal to Project Initiation

Help PI prepare budget and proposal

Complete representations and certifications

* Route proposal package for signatures

Review Proposal/Sign Routing Form

Submit proposal on behalf of SHSU

Review/Prepare award and/or negotiate terms and conditions

Forward for authorized signature

Verify receipt of approvals prior to account establishment

Formally accept award via email

Account # assigned

Assign personnel to new account

Begin work on the project

SHSU ORSP

SHSU C&G

P.I.

* PI should begin IRB/IACUC application at this time
## Pre-Award:
### SHSU Office of Research and Special Programs

http://www.shsu.edu/~rgs_www/

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Contact Information</th>
<th>Responsibilities</th>
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<tbody>
<tr>
<td>Dr. Richard Ward</td>
<td>Associate VP for Research</td>
<td>Authorized Signature Authority for SHSU</td>
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<tr>
<td>Delia Gallinaro</td>
<td>Assistant Director, ORSP</td>
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<td>Trisha Allen</td>
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<td><img src="#" alt="list" /> IRB (Human Subjects)</td>
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<td>Eva Strickler</td>
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<td><img src="#" alt="list" /> IACUC (Animal Subjects)</td>
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<td>Angela Fazarro</td>
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Pre-Award:
SHSU Office of Research and Special Programs

- Assist P.I. in preparing proposals and budgets
- Verify budgeted costs are correct and consistent with institutional practices
  - Fringes
  - F&A (indirect) Costs (Indirect Waiver Form if reduced/waived F&A costs)
- Identify agency restrictions and cost-sharing needs
- Check application for completion and proper format
- Ensure compliance requirements are met for:
  - Conflict of interest issues
  - Human/animal subject use
  - Research safety and hazardous materials management
- Sign proposal routing form:
  - To ensure key compliance issues are identified and reviewed by PI and department, including signatures from the PI, Chair, Dean/Director, and VP
- Submits Proposal
Please utilize these standard budget categories when preparing budgets

<table>
<thead>
<tr>
<th>Budget Category</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Salaries/Wages/Fringe</td>
</tr>
<tr>
<td>A1</td>
<td>Salaries and Wages</td>
</tr>
</tbody>
</table>
| A2              | Fringes  
(28% for full time faculty/staff or part time staff > 20 hrs)  
(18% + $172 insurance for grad students)  
(10% + $0 insurance for undergrads) |
| B               | Travel |
| C               | Capital Equipment (Over $5K) |
| D               | Materials/Supplies  
Research supplies  
Chemicals/Gases  
Computer supplies  
General Office/Lab supplies (if significant activity) |
| E               | OTHER  
Memberships/Subscriptions  
Equipment under $5K  
Participant Support/Stipends  
Scholarships  
Tuition/Fees  
Phone charges  
Printing/Copier/Mail charges  
Publication costs  
Consultants/Prof Services |
| F               | Contractual (Subcontracts only) |
| I               | Indirect (48% on campus, 15% off campus)  
Routine office supplies  
Local phone charges  
General administrative support |
Post-Award:
SHSU Office of Contracts and Grants
http://www.shsu.edu/~rcg_www/

Mike Chavarria
Director
294-1092
mchavarria@shsu.edu
- Expenditure approvals
- General Administrative Issues
- C&G approval signature

Denise Ballard
Contract Administration
294-3833
dballard@shsu.edu
- Contract negotiations
- Preparation of Agreements
- Account Establishment
- Liaison between PI and Sponsor

Chris Rodney
Billing
294-1015
cbr001@shsu.edu
- Preparation of Invoices
- Submission of Invoices

Angela Parker
Voucher Compliance
294-1014
adp012@shsu.edu
- Voucher compliance
- Voucher coding
**Post-Award:**

**SHSU Office of Contracts and Grants**

- Receive and approve proposal file from SHSU ORSP
- Negotiate awards on behalf of SHSU and the P.I.
- Preparation of award documents
- Protect SHSU’s and P.I.’s best interests concerning:
  - Adherence to state/federal laws and sponsor guidelines
  - Project periods
  - Financial terms and conditions
  - Publication rights
  - Data/Intellectual property rights
  - Equipment property rights
- Finalize award document so funds can be made available for spending
Post-Award:
SHSU Office of Contracts and Grants

- Account establishment
- Load project funds
- Prepare Sub-agreements (if budgeted)
- Expenditure approvals and transfers/Monitor budget
- Verify cost-sharing commitments
- Bill sponsor
- Process budget revisions
- Coordination of no-cost extension requests
- Liaison - contact sponsor for approvals
The Million Dollar Question . . .
“Where is my account number?”

1. CONTRACT is received
2. GRANT is received
3. Terms reviewed and/or negotiated
4. Award document finalized and fully executed
5. All approvals received
6. PI accepts terms and conditions/Account # assigned
7. Budget loaded and work begins

“Where is my account number?”
The award letter is sent to you via email with a copy of the award document. The award letter must be accepted to initiate account setup.
PI Responsibilities

ORSP (Pre-award):

- Begin proposal routing with ORSP *first!*
  - Budget and Statement of work
- Begin compliance process if applicable
  - (IRB/IACUC applications)
- Propose cost-sharing ONLY if *required*
  - Must be documented and verified
**PI Responsibilities**

**Contracts and Grants (Post-award):**

- Interact regularly with SHSU Office of Contracts and Grants
- Provide C&G with copies of applicable approvals:
  - Approved Proposal Routing Form
  - Detailed Budget and SOW
  - Approved Indirect Waiver Form
  - IRB
  - IACUC
  - Guarantee Form
- Review agreement and accept award email
- Submit *all* expenditures through C&G office expeditiously
  - Payroll Action Forms (PAF)
  - Vouchers
  - Purchase orders
- Accurately classify expenditures
- Spend according to actual needs rather than available budget
PI Responsibilities

Contracts and Grants (Post-award):

- Monitor your budget and payroll
- Keep cost-sharing verification up to date
- Copy C&G on deliverables
- Verify Payroll Effort reports and return to C&G
- Contact C&G (not the sponsor) for revisions
  - Budgets
  - Personnel changes
  - Statement of work
  - Extensions
- Provide C&G with copies of all non-technical documents if the sponsor sends them directly to you (ex: extensions, additional funding, etc.)
Please Remember . . . .

- The Agreement is made in the name of the *University*
- The PI is not an authorized signature authority
- Cost reimbursable projects are billed for *only* what is expended
- Begin proposal routing/approvals processes as early as possible
- Account establishment occurs upon your concurrence
- Indirect is required or must have proper approval justification and/or documentation from sponsor
- Disclose conflicts of interest
- All expenditures must be routed through Contracts and Grants
Sponsors want to know that . . . .

✓ The investigator is meeting his/her proposed effort commitment

✓ They have been charged fairly and that project costs are:
  • reasonable and necessary
  • directly beneficial to the project
  • adequately and explicitly documented
  • consistent with federal, state and sponsor guidelines
  • consistent with award terms and conditions
  • appropriate under Cost Accounting Standards

✓ The investigator is free of financial conflicts

✓ Scientific and ethical integrity is being maintained

✓ The workplace is safe for employees

✓ Human/Animal subjects are being protected
“Red Flags”

- Transfer of charges made in excess of 90 days after the expenditure
- Large numbers of purchases or transfers made within the last 60 days of the project
- Capital equipment purchases within final 6 months of project
- Providing all cost sharing in the last 60 days of the project
- Consultants
Consequences of Non-Compliance

- Heavy fines for misrepresenting costs, whether intentional or not
- Suspension/disqualification from future research funding
- Risking civil and criminal penalties if convicted of fraud
- Loss of public trust in research conducted by SHSU
  - Public relations issues (community, sponsors, students, staff, faculty, etc.)
  - Potential reduction of state funding
- Likelihood of other agencies raising questions or concerns
- Reduction in sponsor support for SHSU
- Possible termination of employment/project funding
“Are these just guidelines, or are they actual new policies?”
Thank you for your time!

We look forward to doing business with you!
Questions