

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

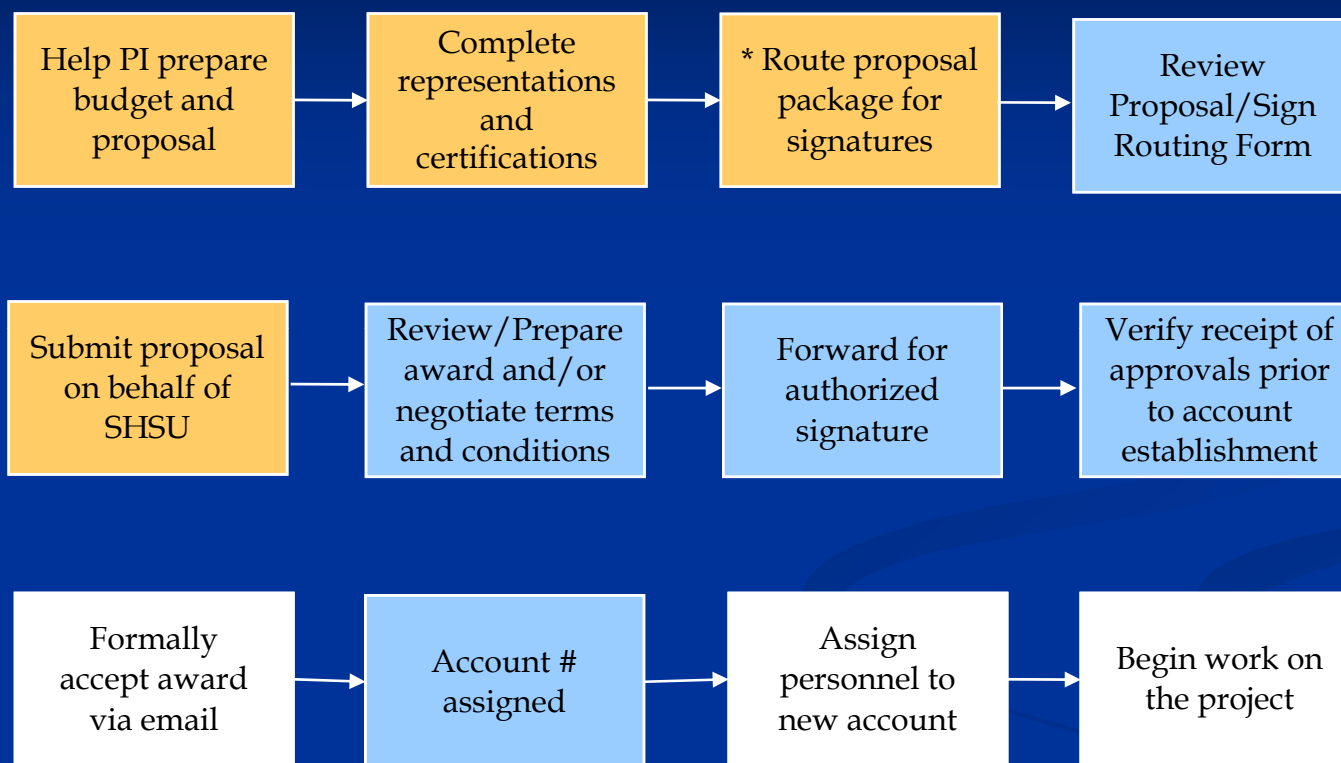
Things to Remember

Sponsors Want to Know

Red Flags/Consequences of Non-Compliance



From Proposal to Project Initiation



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/

Dr. Richard Ward

Associate VP for Research

Authorized Signature Authority
for SHSU

Delia Gallinaro

Assistant Director, ORSP

294-3760

rgs_dxg@shsu.edu

Trisha Allen

Senior Administrative Assistant

294-3876

trishaallen@shsu.edu

- IRB (Human Subjects)

Angela Fazarro

Accountant

294-4862

afazarro@shsu.edu

- Faculty budgets

Eva Strickler

Accounting Clerk

294-3876

strickler@shsu.edu

- IACUC (Animal Subjects)



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



C&G Budget Categories

Budget Category	Description
A	Salaries/Wages/Fringe
A1	Salaries and Wages
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 (49% on campus, 15% off campus) Routine office supplies Local phone charges General administrative support

Please utilize these standard budget categories when preparing budgets



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

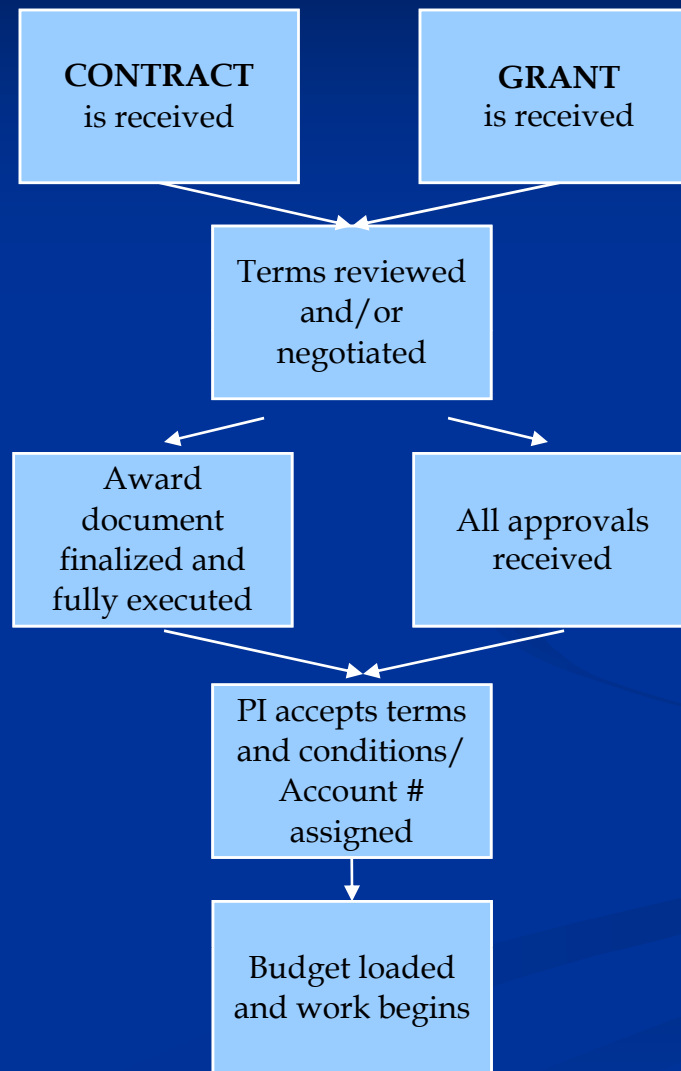
- Receive and approve proposal file from SHSU ORSP
- Negotiate awards on behalf of SHSU and the P.I.
- Preparation of award documents
- Protect SHSU's and P.I.'s best interests concerning:
 - Adherence to state/federal laws and sponsor guidelines
 - Project periods
 - Financial terms and conditions
 - 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?"





BALLARD, DENISE BOUCHER

From: BALLARD, DENISE BOUCHER
Sent: Monday, January 28, 2008 12:59 PM
To: 'mchavarria@shsu.edu'
Subject: New Account 32120B999
Attachments: 32120B999 - Dept of Edu - Chavarria.pdf

Congratulations! We would like to inform you that the SHSU account number referenced above will be awarded upon your reply. Please review the award document and signify your concurrence with the terms and conditions by replying to this email message. Once the award is established, all contractual requirements/deliverables should be met.

The details of your award are as follows:

Account #: 321-20-8999
Sponsor: Department of Education
Sponsor's Ref #: 2008-01-01CG
Title: Research of ABC
PI: Chavarria
Amount of Award: \$100,000.00
Start Date: 01/01/08
Term Date: 08/31/08

The following individuals are available to assist you with your account issues:

Chris Rodney 936-294-1015 cbr001@shsu.edu

- Billing

Mike Chavarria 936-294-1092 mchavarria@shsu.edu

- Personnel Action Forms
- Vouchers
- General Administrative issues
- Expenditure compliance

Denise Ballard 936-294-3833 dballard@shsu.edu

- Contractual issues (preparation/review of contracts and grants, requests for non-technical sponsor approvals)
- Account establishment

Please keep in mind that any contractual related documents must be routed through this office for review prior to signature by ORSP. In addition, all non-technical documents sent directly to the PI should be forwarded to this office for permanent file retention and maintenance of account accuracy.

Thank you,

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!*



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? *Questions* ?

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