Post Award Grant Management

Sponsored by the Office of Research Resources (R²)

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Initiating a Sponsored Project Award

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2. Sponsored Project Management
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Initiating a Sponsored Project Award

Award notification

- Notice of Grant Award (NGA): Documents (including contracts) sent by sponsors to notify the University of terms and conditions of an award
- Typically received by SPA:
  - If PI receives NGA directly, immediately forward to: grants-office@columbia.edu
  - NGA often requires signature of authorized University official
  - NIH, HRSA, CDC and NSF: acceptance of award indicated when SPF draws down funds

Can you accept the Award?

- Terms and conditions
- Reductions in budget and re-budgeting
- Effort commitments
- Scientific overlap
Initiating a Sponsored Project Award

Terms and conditions

Before accepting an award, SPA

- Reviews all terms and conditions
- Is responsible for **negotiating appropriate remedies** if an award:
  - Contains provisions incompatible with the University’s policies on sponsored research
  - Is inconsistent with government-wide regulations
  - Fails to include all elements agreed upon prior to the award
  - Requires modification to conform to the PI's needs
Terms and conditions, continued:

- The PI, department, and SPA must:
  - Note all requirements
  - Read all referenced documents within NGA

- Basic objective of award negotiations:
  - To ensure that the University and the PI do not relinquish the right to make ultimate decisions on the manner in which the research is to be conducted or the results disseminated

- On behalf of the PI, the University seeks to guarantee:
  - Sponsor cannot unilaterally amend, suspend or terminate project
  - No prohibitions on the publication of results
  - Ownership/ control of intellectual property resulting from research is not relinquished
Initiating a Sponsored Project Award

Reductions in budget and re-budgeting

- Very often, sponsors do not award total dollar amount requested in grant application

- Sponsor will still expect the objectives of proposed project to be met, including originally proposed effort commitments

- PI should carefully consider how he/she will be able to meet the objectives on a reduced budget

- PI can coordinate with his/her Department Administrator and Project Officer to go back to the sponsor and propose a reduced scope of work which reflects the revised budget
Effort commitments

Prior to accepting an award, PI should consider overall time commitments:

- PI should confirm that new award fits with other previous commitments, including teaching, clinical activities and other sponsored research.
- PI’s time commitment cannot exceed 100%, whether or not salary support is requested.
  - Effort on one project may need to be reduced (may require approval from sponsor) –or–
  - Time toward other University activities may need to decrease.
Scientific overlap

- Prior to accepting terms of a NGA, PIs should consider if there is any scientific overlap with other sponsored projects
- PI is responsible for reporting/resolving any overlap prior to accepting an award
- Scientific overlap occurs when:
  - Substantially the same research is proposed in more than one application or is submitted to two or more funding sources for review—or—
  - A specific research objective and research design for accomplishing the objective are the same/closely related in two or more applications or awards, regardless of the funding source
Initiating a Sponsored Project Award

Project setup and modifications

- SPA sets up all projects
- Your SPA Project Officer may contact you during account set up if there are questions concerning:
  - Budget
  - Assurances
  - Special terms and conditions
  - Missing documentation
Initiating a Sponsored Project Award

Checklists for Setting Up Projects

- NGA or fully executed contract
- Copy of original application
- Finalized RASCAL PT Record
- Up-to-date FCOI disclosure and certification and approval from Office of Research Compliance
- IRB protocol (if applicable)
- Review of Scientific overlap
Sponsored Project Management

Sample Email from SPA Program Officer

Hello:
Attached please find a copy of your Notice of Grant Award. Please save this email message and attachment, as this is the only time SPA will send this information. In the future you will receive an email that the awards have been modified in ARC, along with instructions on how to run the Project Information Notification (PIN). The PIN replaces the SPBA and will show details relating to the award setup. The linkage between this notice of award receipt email and the PIN will be the award number.

Below is a list of items needed to establish an account or update your current account. Please provide our office with the items that apply:
- New 8 digit department number
- Names on the project team (replacing responsible person 1, 2, 3)
- Initiative
- Segment
- Site
- Copy of the current IRB approval
- Detailed budget matching the total awarded amount using the appropriate Excel file.

Please provide the above information by completing the Excel file (multiple worksheets) and submitting it to SPA via SPARC at [http://columbia.force.com/SparcForm](http://columbia.force.com/SparcForm). The Type of Inquiry should be "Other", with inquiry subtype "Other". Please enter "Award Modification" and the subject line of this email for the SPARC subject, and attach the completed Excel file. A completed example of the Department Award Setup form may be found at [http://spa.columbia.edu/new-transition-arc-tools-and-resources](http://spa.columbia.edu/new-transition-arc-tools-and-resources). Please send Mary Diehl an email once the requested information has been uploaded to SPARC.

Make sure to read through the terms and conditions of the Notice of Grant Award thoroughly and pay special attention to any restrictions and any additional requirements.

Feel free to contact me with any questions.

ARC information
Sponsored Project Management

PI is responsible for ensuring that:

- All key personnel, including consultants, have completed financial conflict of interest (FCOI) training and submitted an annual conflict of interest (COI) disclosure
  - [https://www.rascal.columbia.edu/servlet/edu.columbia.rascal.presentation.tc.servlets.TCMainServlet (TC1450)]
  - [https://www.rascal.columbia.edu/coi](https://www.rascal.columbia.edu/coi)
- IRB protocol has been approved (for all human subjects research)
- All subcontracts have submitted FCOI certifications (if applicable)

Administrator is responsible for:

- Completing budget modification form
- Providing ARC details

Failure to complete these requirements will cause delays!
PIs should meet with their administrator as soon as a grant is awarded.

At minimum, they should discuss:

- Budget and any adjustments from the submitted proposal
- Status of IRB approval
- Anticipated programmatic concerns
- Planned use of consultants and other significant financial commitments

Any delays in the creation of a project in ARC will impact PI’s ability to carry out research objectives and initiate study activities.
Subcontracts are negotiated and executed by the Subawards Team within SPA. A subaward officer will reach out to the administrator as soon as they see that funds on a project are budgeted for a subaward.

Subcontracts can be executed as soon as the project has been created in ARC and the signed FCOI certifications have been obtained. Subcontracts need to submit new FCOI certifications every time the award is amended if they are not listed in the FDP Institutional Clearinghouse: [http://sites.nationalacademies.org/PGA/fdp/PGA_070596](http://sites.nationalacademies.org/PGA/fdp/PGA_070596)

**Required documents for subcontract execution include:**

- finalized budget and budget justification
- scope of work
- information for key administrative/financial contacts at subcontract
- IRB approval, if applicable
Sponsored Project Management

PIs are responsible for:

- Day-to-day management of sponsored projects
- Ensuring compliance with federal and sponsor regulations

All PIs should be familiar with:

- The Sponsored Projects Handbook
- Federal regulations that govern their sponsored projects

Bookmark this website!
http://spa.columbia.edu/
PIs are legally responsible for all of the spending activity that occurs on their sponsored projects.

- In order to ensure that investigators are reviewing their project expenses systematically, Columbia requires that PIs sign off on expense attestations on a quarterly basis.
- Attestations are done through a tool called WebViewer. The WebViewer includes a set of quarterly reports that can be utilized to review project expenditures.
- Some departments also create shadow systems to track expenses on a more frequent (i.e. monthly) basis so that both the administrator and the PI have immediate access to accurate financial information.
PIs are required to review expenses on their sponsored projects on a quarterly basis. PIs can review the project summary statement, project detail statement, and payroll summary statement via WebViewer. PIs then sign an attestation for each grant project that certifies the total expenses for the quarter and the fiscal year to date.
## Sponsored Project Management

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Progress Reports (non-competing continuations)

- Generally due **6 weeks** prior to the end-date of an award for ESNAP or RPPR-eligible projects

- If a hard copy of the progress report must be mailed to NIH, progress reports are generally due **2 months** before the end-date of an award*

- Depending on the type of project, the following components may be required at the time of submission:
  - Detailed budget proposal for coming year’s funds, including justification and subcontract documents
  - Updated other support for all key personnel
  - Confirmation that all related publications are in compliance with the NIH Public Access Policy
  - Updated certifications including IRB approval, COIs for all key personnel, FCOI forms for subcontracts and consultants, and HIPAA training for all personnel listed on the project

*there are always exceptions!
Final Reports

- Due to funding agency **120 days** after end-date of the award

- Three separate reports are required for the termination of a NIH project:
  - A financial status report (FSR) – submitted by the administrator and SPF
  - An inventions/patents statement – submitted by the SPA officer
  - A final progress report and other deliverables – submitted by the PI and sent to the administrator and SPA officer
  - Equipment inventory (if applicable)

- Private foundation grants and other government grants might have different final report deadlines
  - PI and administrator should be review grant policies as the end-date approaches
Helpful Websites

Columbia’s Sponsored Project Administration website:
http://spa.columbia.edu/

Columbia’s Executive Vice President for Research website:
http://evpr.columbia.edu/

A step-by-step guide to submitting NIH grants:
http://grants.nih.gov/grants/submitapplication.htm#competing

Parent R01 application:

Parent R21 application:

Due dates for NIH standard (parent) application cycles:
http://grants.nih.gov/grants/funding/submissionschedule.htm
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<th>ARC</th>
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<td>Institutional Review Board</td>
<td>PI</td>
<td>Principal Investigator</td>
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Contact us!

Research Resource ($R^2$) Office

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