The Grant Process at Sargent

4 Step Process

- 1) Application 2) Office of Sponsored Programs 3) Granting Agency Deadline 4) Award Given

<u>Step 1: Application</u>

- Have a meeting with the Research Administrator
    - Please contact the Research Administrator at least two weeks before a submission deadline in order to ensure your proposal is submitted on time. If you are planning on having a subcontract on the grant, please have the Research Administrator at the sub's institution contact Sargent's Research Administrator at least two weeks before the submission deadline as well.

    - Before this meeting the PI should provide relevant documentation (program announcement, etc.…) and pertinent "inside" or background information to the Research Administrator. This is needed because almost every application has different requirements and formats.

    - Ideally 20 business days, but at least 10 business days before the agency deadline the faculty member (PI) should bring a skeleton budget to the meeting. These deadlines should be adhered to for both new proposals and competing renewals. The budget should include rough ideas about personnel needs (faculty and staff % time or hours), supplies, travel, etc. This is important because certain granting agencies have very specific staffing, scope/mission, and budgetary requirements (e.g. ceilings on personnel; does this agency fund things of this scope? subcontracts?) and the application must "match" the granting agency selected. It is not necessary to have every detail nailed down; but the basic configuration should be in place. The Research Administrator will calculate all directs and indirects. ***Please keep in mind that the PI's percent effort should be discussed and approved by his or her respective department chair before meeting with the Research Administrator. The percent effort on the proposal will be the percent the Research Administrator uses to calculate the salary.***

- Putting your proposal together
    - The Research Administrator will do the spreadsheets and will work with PI to get grant guidelines and other reference materials. He/ she will obtain necessary salary and fringe information for personnel and work on any subcontracts.

    - The PI provides other expense information (the Research Administrator can advise based on previous grants if questions arise) and the PI writes the Budget Justification. Samples are available from the Research Administrator if requested.

- Creation of an Application folder in Proposal Development on SARNET. The Research Administrator will set up a folder for each new application. This folder is the working storage place for all pieces of the grant application (guidelines, forms—usually in Adobe – biosketches, narratives, tables, etc.).
- Subcontracts:
    - If you have people outside BU who will be supported on your grant through a subcontract, this involves specific additional activities. The Research Administrator will work with the PI and subcontract site to prepare these materials.

    - If you are asked to be on a subcontract on someone else's grant: Before agreeing to do this work you must meet with your department chair. Then meet with the Research Administrator to go over the paperwork required.

- Points to consider/remember:
  - As of 10/1/00 NIH requires Human Subjects Certification for all PI's and "key personnel" if the project involves human subjects. Certification training is available at training sessions and on-line help. There is an actual "test" (on-line) to pass for certification. Proof of completion for all key personnel will be required before research funds can be released or when asked for Just in Time information from NIH. BUMC requires recertification every 2 years. The Charles River Campus currently doesn't have any recertification policy at this time.

  - Fellowships: Although there are many Fellowships which are directly funded to an applicant and by-pass the University system (e.g. NIDRR Switzer), there are others which need institutional approval. Contact the Research Administrator to clarify the type of Fellowship you are requesting.

  - In developing job descriptions and personnel needs for a grant, be aware that they **must** fit into BU titles, grades, salary ranges, qualifications, job descriptions, etc. You can't just write into a grant someone called "project administrator" who will have a salary of $x. That line item must meet all BU criteria. Maria Tripodi can help with this since she has access to titles, salary ranges, job descriptions etc.

  - Consultants: BU faculty cannot be paid or unpaid consultants on a project whether in the academic year or for the summer. They must be listed as BU personnel on the grant if it is being processed in a different BU department. The other department will need to calculate your % effort and allow for the full fringe rate as they would with their own effort.

  - Student grants: Every student grant must have a faculty PI. The same process is followed for a student initiated application as for a faculty-initiated application (some exceptions are Dudley Allen Sargent or AOTF). **The faculty PI must assume this role as if it were their own grant.**

Step 2: Office of Sponsored Programs (OSP)

All grant applications (including foundation grants generated through Amy Fisher, Assistant Director Corporate and Foundation Relations) must be approved (signed off on) by the Office of Sponsored Programs before sending them to the granting agency. Amy Fisher will assist developing the budget for foundation grants. Once she has completed that process the PI needs to give the Research Administrator a copy of the completed proposal to route to OSP to obtain their signature. The OSP paperwork is still required for foundation grant submissions

- The Research Administrator is the direct interface with OSP—not individual PI's, departmental staff, or students.
- OSP needs at least 5 business days before the 'official' deadline of the granting agency to review the application. This is necessary because there are several levels of reviews and sign-offs that need to take place before the University can approve an application.
- When "sent up the street" to OSP, the application can either be 'completed' (the final form is preferable), or have the minimum requirements needed by OSP to review (e.g. budget, budget justification and abstract/description of the project).**It is very important that the PI be available during this period for any "last minute" changes or questions that the Research Administrator or OSP may have. If not on campus, PI must be reachable by telephone and email.**

Step 3: Meeting the Granting Agency Deadline

- Departments and the faculty member responsible for the application (the PI) are responsible for getting the application to the funding agency after OSP gives institutional approval. The Research Administrator shifts to a supportive role.

- The PI must ensure that the application meets proper format (page numbers, type font, table of contents, etc.).
- Department/PI is responsible for making appropriate # of copies if a paper submission.
- Department/PI is responsible for sending the application to the granting agency by the correct deadline if it is a paper submission
- For electronic submissions the PI will upload all of the relevant documents from the Proposal Development folder on Sargent's N: drive. Once all of the documents have been uploaded the Research Administrator will save a completed version to the folder. For NIH submissions through grants.gov, PI's have five days after the deadline date to fix any errors that were found in the initial submission. It is to the PI's benefit to still submit on the deadline date because it may take a few days for NIH to find any errors.

Step 4: Award Given

- Please contact Sargent's Personnel Administrator, Maria Tripodi, with any hiring issues such as job postings, writing job description that meets BU guidelines, etc. A month lead-time is needed for this process, more in the summer. It is best to start this process as soon as official notification of funding is received, even if the "start date" is several months away.

- Post award monitoring is really the responsibility of the PI. The Research Administrator can assist in making a spending plan. Please find a table with some of the most commonly used object codes. Please use this as a reference when monitoring your budgets.

BU Object Codes	**BU Categories**
902	student employees
911	phone equipment
912	phone usage
913	equipment rental
914	postage
915	contracted services
916	copying & printing
917	books
918	travel
919	meeting expenses
920	dues
924	supplies (Grants)
927	honoraria
931	building & ground
932	computer software
953	minor equipment
947	stipends (Grants)
948	tuition allowance (Grants)

Note: the 910 category of office supplies does not apply to grants.

- You only have 90 days to correct mistakes on the Restricted Funds Report (the monthly budget/expenses sheets generated by OSP and sent to the PI) or the business link (www.bu.edu/link/shortcut/faculty **or** www.bu.edu/link/shortcut/my_grants).

- If you find an erroneous charge please contact the Research Administrator as soon as possible and he/she will take the proper action required.

- Once a grant is awarded some funds may be shifted around, especially between BU categories that all come under larger grant categories. Please contact the Research Administrator before doing any rebudgeting.

- Progress Reports: PI is responsible and must follow departmental guidelines regarding roles and responsibilities of PI versus staff for monitoring expenditure reports (monthly Restricted Fund Reports), preparing continuation applications etc.

- Final Report: PI is responsible for timely submission of required report(s).

- On multi-year grants SAR will help with the financial and technical aspects of the annual continuation process.

- Carryovers of unexpended funds are usually allowed without sponsor approval under the Expanded Authority Guidelines for federal grants. These guidelines may not apply to non-federal agencies. ***Always*** contact the Research Administrator at least 2 months in advance if you would plan to carryover funds from a previous grant year and he/she will advise you on the proper procedure.

- An IPAS form is an internal form used in both pre and post award.
  - In the pre-award stage it is used to request set-up of a pre-award account 90 days prior to the start date specified in the Notice of Grant Award to cover costs that are necessary to conduct the project. The costs must be allowable under the grant.
  - In the post-award stage the IPAS form is used to request a no-cost extension on an award, and/or to request a subcontractor after an award has been made.

  Please contact the Research Administrator if you need to submit an IPAS form to OSP for any of the reasons stated above.

- Please contact Laura Badgett, Sargent's Financial Administrator, with any purchasing needs.

Points of Interest

- GRASP: Is a university sponsored program out of the Provost's office. If a grant has a full overhead charge (campus 62.5%, off-campus 26%) and a student stipend of at least $9,100 per semester is paid by the grant, the student's tuition will be covered in full. The stipend amount is calculated on the student spending 15 – 20 hours a week on grant related activity. GRASP is not automatic: appropriate paperwork must be filed by the supervising faculty member with the Director of Graduate Financial Aid.

- Development Office: Amy Fisher of Development can help faculty secure foundation grants. Consult her as well at the beginning of the process.

- Cost Sharing: The University does not want cost-sharing. Therefore, keep cost-sharing to the minimum amount as required by the grant. If cost-sharing is not a requirement, do not volunteer it. Some grant forms have a cost sharing section, but if the grant hasn't explicitly required it, then don't automatically fill out that cost share part.

- Purchases on grants: Please check BU guidelines. Be aware that any purchase of *more than $1,000* must go out for bid through BU's purchasing department if you do not use one of BU's preferred vendors. You should always use BU's preferred vendors first, and if they do not have the items that you need, you can then go out for a competitive bid. A list of the preferred vendors can be found on purchasing's website.

- Personal Activity Report (PAR) forms: As a recipient of federal funds, under OMB Circular A-21, Boston University is required periodically throughout the year to certify the effort expended by faculty, staff and students on sponsored projects. At BU, effort reporting is handled via Personnel Activities Reports (PAR). They are received based on the following schedule:
  a) Quarterly for non-exempt staff paid under object code 905 or 906;
  b) Semiannually for faculty and exempt staff paid under object code
  900, 901, 903, and
  c) Annually for students paid under object code 902.
  These should reflect actual effort. The Research Administrator should be consulted about any changes in the % time allocation. PARs must be signed by both the PI and the employee. If mistakes or questions require follow-up, see the Research Administrator. **Do not overlook these because they MUST be completed.**

- High Risk Audit Areas :

  Inaccurate effort reporting
  Misallocation of costs
  Excessive cost transfers
  Unallowable costs
  Inadequate subrecipient monitoring
  Incomplete forms describing existing support on applications
  Delinquent reporting to sponsor
  Adherence to special award requirements
  Inadequate institutional oversight

- Unallowable Expenses:

  The government states that certain expenses should be charged as indirect, not direct on sponsored programs. Some examples of these expenses are Administrative and clerical staff, office supplies, postage, local telephone, memberships, etc. However, these types of charges may be considered allowable as a direct charge if the expenses are specifically spelled out in the approved budget, the award has major project designation, or if the expense can be identified with the specific sponsored project relatively easily and with a high degree of accuracy. For example, mailing is generally unallowable as a direct charge on a grant. However, if you must mail a substantial amount of surveys, those costs may be allowable as a direct charge and can be paid for from the grant. That is because of the volume of the mailing is so great and the mailings are necessary for the project. Another example is a brochure rack. A brochure rack can not be identified with the specific sponsored project relatively easily and with a high degree of accuracy in most circumstances. However, if the brochure rack is only being used for recruitment brochures in clinics who have agreed to let the PI display the brochures, it may be allowable. A justification should be included on the order form that you submit to Laura Badgett at the time of the purchase because Grant and Contract Accounting reviews purchases made on grants. If a justification is not included they will eventually ask for one and it will hold up the purchasing process. Any questions relating to allowable versus unallowable expenses should be directed to the Research Administrator.