

Principal Investigators' Workshop

- Office of Research-Pre-award Process
- Office of Sponsored Programs and Grant Accounting
- Intellectual Property and Technology Transfer
- Conflict of Interest-Policy and Procedures
- Q & A

Pre-award Process

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Office of Research at Montana Tech

Discussion Points

- Grants vs. Gifts
- Process
- Services Provided by the Research Office
- Electronic Proposal Submission
- Certifications and reviews
- Signatures and Approvals
- Success and Negotiating Awards
- Q & A

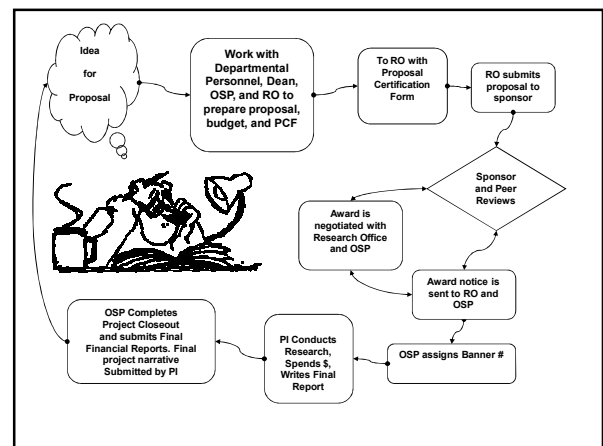
Acronyms

- RO – Research Office
- OSP - Office of Sponsored Programs and Grant Accounting
- PI – Principal Investigator
- IP – Intellectual Property
- IDCs – Indirect Costs
- aka: F & A – Facilities & Administration

Grants versus Gifts

Grants	Gifts
Specific deliverables & schedule	No deliverables or schedule
Intellectual Property rights involved	No IP restrictions
Final technical and financial reports	No project reports

Contact the Research Office or the Montana Tech Foundation for further information



Services Provided by Research Office

- Proposal Planning and Submission
- Budget Planning and Guidance
- Copying and Mailing Assistance
- Editorial Services
- Proposal Preparation Services
- Electronic proposal submission
- Maintaining sponsor relationships
- Information
 - Provide updates on administrative regulations
 - Funding Opportunities
 - Research Faculty Announcement Emails
- Check out the Principal Investigator's Handbook for detailed information on writing proposals (available on the Research Office website)

Proposal Certification Form (PCF)

- Required for all proposals prior to submission to the sponsor
- The PCF provides generalized information about the proposed project and documentation of the required approvals
- Initiates recording and tracking of the proposal
- Allow 3 working days for administrative review and approval

Form available online:
www.mtech.edu/research/

Electronic Proposal Submission

- RO is Designated Point of Contact
- Backup is OSP and VCAAR
- Systems:
 - NIH ERA Commons
 - NSF Fastlane
 - Grants.gov
 - Proposal Central
 - FedConnect
- Contact the Research Office to register for these online submission systems

- www.grants.gov
- Download a package from the funding announcement
- Complete package and attach documents
- Contact Research Office when ready to submit
- Plan to submit proposals early to Grants.gov to avoid system problems!

Help: <http://www.grants.gov/help/help.jsp>

- commons.era.nih.gov/commons/
- Proposals are submitted through Grants.gov, then Grants.gov sends the package to ERA Commons
- Once ERA Commons receives the package, the package should be checked for errors
- If no errors, package is fully submitted to NIH
- Contact the Research Office to register for ERA Commons

Help: <http://era.nih.gov/ElectronicReceipt/process.htm>



National Science Foundation

- www.fastlane.nsf.gov
- PI enters info into Fastlane, then opens proposal up to RO when ready to submit
- Contact the Research Office to register for Fastlane
- **Demonstration Site:**
https://www.fastlane.nsf.gov/jsp/homepage/demo_site.html
- **Help:**
https://www.fastlane.nsf.gov/NSFHelp/flashhelp/fastlane/FastLane_Help/fastlane_help.htm#welcome_to_the_fastlane_help_system.htm

FedConnect Department of Energy *Ready, Set, Go!* (and Others)

- www.fedconnect.net/Fedconnect/
- Only required for some DOE Proposals, not all
- Read the Funding Opportunity carefully for submitting instructions
- Contact the Research Office for help with FedConnect

Certification and Institutional Review Requirements

Many proposals require the Authorized Representative to certify the following:

- Affirmative Action
- Drug Free Workplace
- Lobbying
- Federal Debt Delinquency
- Debarment and Suspension
- Basic financial practices
- Institutional Review Board Approval

Institutional Review Boards (IRB)

- Required by Federal Statute
- Institutional based committees tasked with reviewing proposals for specific issues relating to the use of Human Subjects, Animals, Controlled Substances, and Hazardous Materials
- Designed as a safeguard for the institution, the researcher and research participants

Institutional Review Board (IRB)

- UM has IRB Committee which oversees compliance for research involving Human Subjects & Animals
- Montana Tech has one member on Committee
- Montana Tech can approve simple projects
- More complex investigations required full IRB review
- See Miriam Young when planning research

Compliance Contacts

IRB (Human Subjects)

Miriam Young
x3787, myoung@mtech.edu

Environmental Health Officer Approval (Hazardous Chemicals and/or generation of hazardous waste)

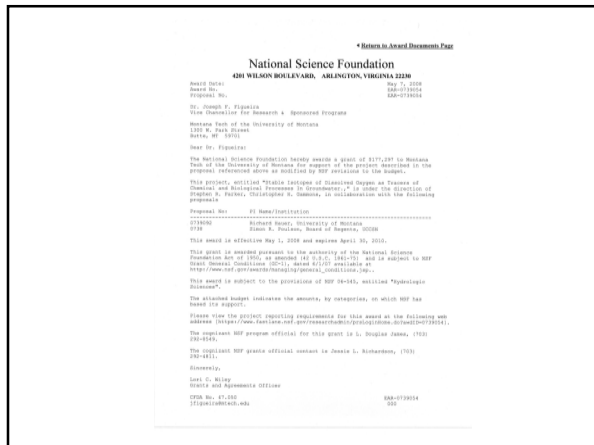
Marilyn Cameron
x4463, mcameron@mtech.edu
CBB 003

Signatures and Approvals

- Proposal Certification Form (PCF) Completed & Signed
- PCF to Research Office for Review and Signature
- Sponsor Required Forms
- Research Office submits proposal

Negotiating Awards

- Who should be involved
 - Principal Investigator/Project Director (technical/scope of work)
 - Research Office (matching/reinvestments)
 - OSP(financial and contractual)
- Hazards to be aware of (causality)
 - Changes in funding = changes in scope/schedule



Proposal Approved

- **Congratulations!**
- **Review the award document – PI & OSP**
 - Types of Awards
 - Details of the budget and project scope
 - Applicable Policies and Guidelines
 - Special Details
- **Authorized Signatures - RO**
 - Awards are actually made to the institution
 - Institution accepts on behalf of the PI
 - Research Office's signature must be on all formal documents, including any agreements or contracts.
- **Subcontracts – RO & OSP**
 - Once award is in place – formal award document received or contract fully signed – subcontract(s) may be issued if the PI is ready.
 - Consortium agreement(s) and back-up documents at the time of proposal will speed the process.

Remaining Steps

- Proposal Management shifts to Post Award Phase and is handled by the Office of Sponsored Programs and Grant Accounting (OSP)
- OSP
 - meets with PI
 - sets up Banner Account
 - monitors reporting obligations and financial obligations
 - submits periodic and final financial reports to funding agency
- More detail in Post Award Presentation by OSP

Research Office Information

- Research WEB Site: www.mtech.edu/research/
Up-to-date information for current forms and policies; annual reports; and links to funding sources.
- Research Office Public Folders
Current Program Announcements, revised forms, Calls for Proposals, etc..
- PI Handbook (Currently being updated)
General Guidance: Administration, Proposal Preparation, Sample Budgets, Policies, Checklist, etc.

Questions?



"Mr. Osborne, may I be excused? My brain is full!"

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Types of Awards			
	Grant	Cooperative Agreement (JVAs, CESUs, Challenge Cost Share Agreements)	Contract
Basic Purpose	Provides financial assistance with few restrictions	Provide assistance with substantial involvement of both parties	Procure tangible goods or services
Solicitation Method	Application kit or guidelines	Request for Application or Proposal	Request for Proposal or Quote
Award Instrument	Short and simple, may refer to general conditions	More detailed than a grant award and will describe the level of involvement of both parties	Detailed specifications, clauses, regulations and expected results or deliverables
Level of Involvement by Sponsor	Generally none	Substantial involvement	May be extensive
Rebudgeting	Flexible and typically done through internal mechanisms such as OPAS	Usually flexible and may be allowed through OPAS	More restrictive
Equipment Title	Vests with grantee	Varies	Varies
Performance Period	Specified in Grant	Specified in Cooperative Agreement	Specified in Contract
Intellectual Property Rights	Usually vested with grantee	May be shared	Specified in Contract
Publications	Sponsor may request that they be informed prior to any publication	Sponsor may request that they be informed prior to any publication	Sponsor may require prior review and approval
Technical Reports	Annual summary	Frequent reports and communication	Detailed and frequent (monthly)