



Top 10 Myths about Sponsored Projects and Grants

Rick Nader, Chief Research Officer



Myth Busters

1. "I can submit the proposal myself"
2. "Indirect Costs are unjustifiable expenses that reduce the \$ I get for my project"
3. "I can wait until the last minute- the university must submit"
4. "If I get declined, there's no use re-submitting"
5. "I could practice by submitting *trial balloon* proposals, may get funded"



Definition of Research & Development (R&D)

NSF defines R&D activity as creative and systematic work undertaken in order to increase the stock of knowledge — including knowledge of humankind, culture, and society — and to devise new applications of available knowledge.

- ▶ **Basic research** is experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view.
- ▶ **Applied research** is original investigation undertaken in order to acquire new knowledge. It is directed primarily towards a specific, practical aim or objective.
- ▶ **Experimental development** is systematic work, drawing on knowledge gained from research and practical experience and producing additional knowledge, which is directed to producing new products or processes or to improving existing products or processes.



Examples of NSF defined R&D

R&D *includes*:

- Sponsored research (federal and nonfederal)
- University research (institutional funds that are separately budgeted for individual R&D projects)
- Startup, bridge, or seed funding provided to researchers within your institution
- Other departmental funds designated for research
- Recovered and unrecovered indirect costs (see definitions in Question 1)
- Equipment purchased from R&D project accounts
- R&D funds passed through to a subrecipient organization, educational or other
- Clinical trials, Phases I, II, or III (see definition in Question 5)
- Research training grants funding work on organized research projects
- Tuition remission provided to students working on

R&D does *not* include:

- Public service grants or outreach programs
- Curriculum development (unless included as part of an overall research project)
- R&D conducted by university faculty or staff at outside institutions that is not accounted for in your financial records
- Estimates of the proportion of time budgeted for instruction that is spent on research
- Capital projects (i.e., construction or renovation of research facilities)
- Non-research training grants
- Unrecovered indirect costs that exceed your institution's federally negotiated Facilities and Administrative (F&A) rate



Myth Busters

6. "All grants are for research"
7. "Funding agency rules trump LIU rules"
8. "My program manager told me it was "ok" on a phone call"
9. "I can decide if my human subjects research needs IRB approval, or is "exempt" "
10. "Life will be the same after the award"
11. "LIU has no one here to help me with my proposal "



Office of Sponsored Projects

Executive Director of Sponsored Projects

Director, Sponsored Research-Health

IRB Human Subjects and IACUC Coordinator, Assistant Director, Sponsored Projects



Proposal Submission Process

- Access to SPIN is available from any LIU networked access point. If off campus or needing assistance, Register for SPINPlus to learn of funding opportunities at <https://spin.infoedglobal.com/Authorize/Login>
- For help with proposal development contact Dr. Rick Nader at rick.nader@liu.edu or Alan Gertler alan.Gertler@liu.edu
- Once RFP is identified, contact pre-award osp@liu.edu and provide copy of RFP and/or RFP number
- Once committed to apply, Route an abstract and budget through the Proposal Routing Portal on IRBManager <https://www.liu.edu/About-LIU/Administrative-Departments/Academic-Affairs/Institutional-Review-Board/IRBManager>
- Make sure you are registered for any electronic portals that are required (ex. Research.gov, Fastlane, Grants.gov etc.)



Proposal Submission Process

- Final version of proposal should be provided well before the deadline and communicate early and often with OSP to avoid any surprises
- With electronic submissions, files should be uploaded to sponsor electronic platform by PI for review and approval by OSP
- If subcontractors are involved, a subrecipient questionnaire, budget, scope of work and budget justification need to be received from each subcontractor early in the process
- If you plan to use animals or humans on the proposal, contact Lacey Sischo at lacey.sischo@liu.edu
- Policies for Conflict of Interest and Misconduct in Science are on the OSP's website. <https://www.liu.edu/about-LIU/administrative-departments/academic-affairs/Office-of-Sponsored-Projects/Important-Tools-and-Policies>



Proposal Submission Process

- Cost sharing is only allowed when mandated by the sponsor/RFP. If cost sharing is required it must be approved by OSP and potentially others.
- If release time from teaching is sought it must be approved by your Chair/Dean prior to proposal submission
- LIU's negotiated Facilities and Administrative and Fringe Benefits cost rates should be used for budgeting purposes <https://www.liu.edu/About-LIU/Administrative-Departments/Academic-Affairs/Office-of-Sponsored-Projects>
 - LIU will honor a lower rate if it is mandated by the sponsor and applied to all grants provided by that funder. Approval for use of F&A rates lower than the negotiated rate are required by Dr. Rick Nader at rick.nader@liu.edu

COLLEGES AND UNIVERSITIES RATE AGREEMENT

EIN: 1111633516A1

DATE:06/17/2019

ORGANIZATION:

FILING REF.: The preceding
agreement was dated
04/27/2016

Long Island University
University Center, 700 Northern Blvd
Brookville, NY 11548-1327

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

SECTION I: INDIRECT COST RATES

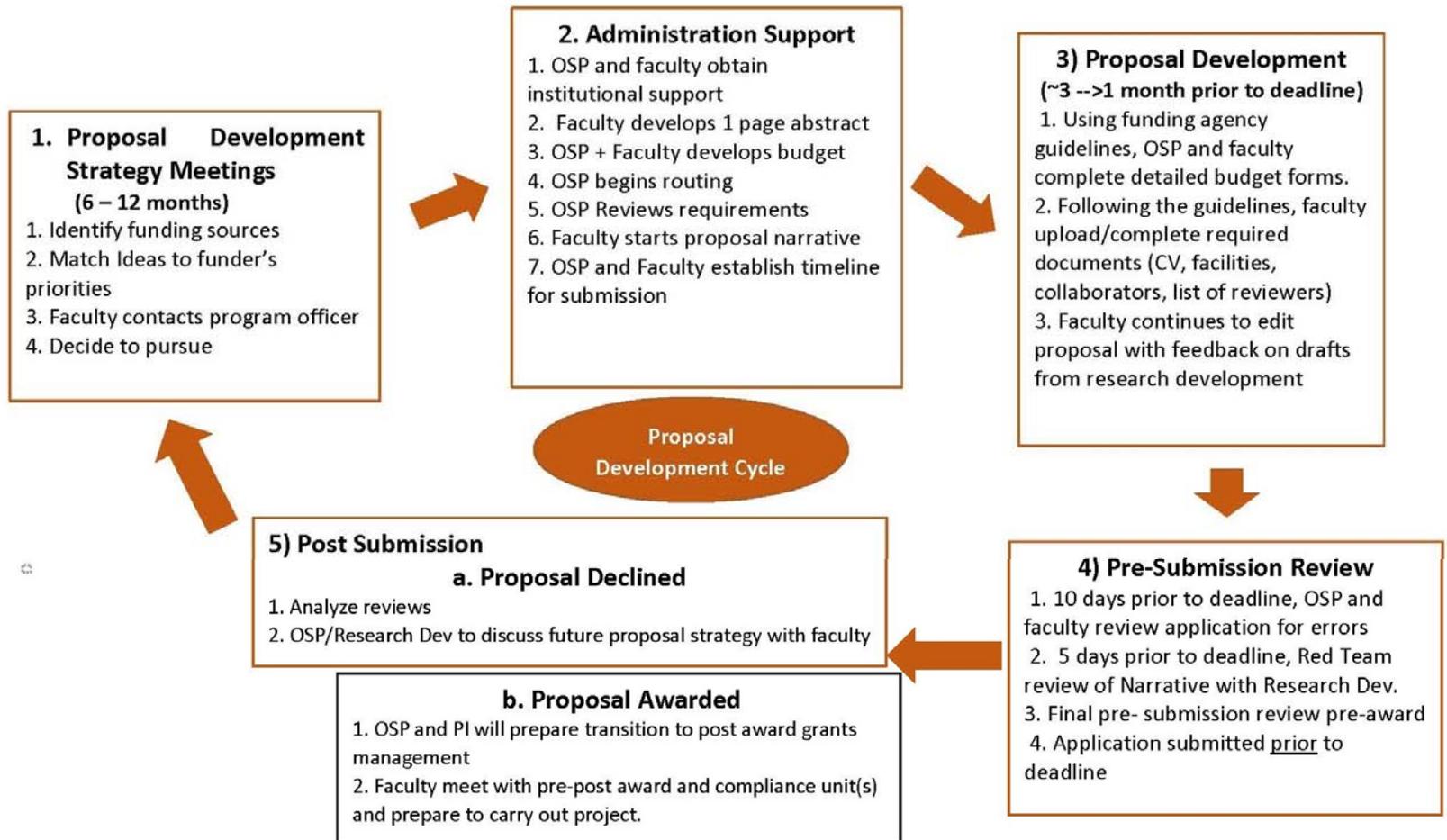
RATE TYPES: FIXED FINAL PROV. (PROVISIONAL) PRED. (PREDETERMINED)

EFFECTIVE PERIOD

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE(%) LOCATION</u>	<u>APPLICABLE TO</u>
PRED.	09/01/2018	08/31/2019	65.00 On-Campus	All Programs
PRED.	09/01/2018	08/31/2019	29.20 Off-Campus	All Programs
PRED.	09/01/2019	08/31/2023	54.00 On-Campus	All Programs
PRED.	09/01/2019	08/31/2023	20.00 Off-Campus	All Programs
PRED.	09/01/2019	08/31/2023	22.00 Mod Off-Campus	All Programs
PROV.	09/01/2023	Until Amended	54.00 On-Campus	All Programs
PROV.	09/01/2023	Until Amended	20.00 Off-Campus	All Programs
PROV.	09/01/2023	Until Amended	22.00 Mod Off-Campus	All Programs

*BASE

PROPOSAL DEVELOPMENT PROCESS – OFFICE OF SPONSORED PROJECTS





Awards come in three basic forms:

- ▶ **Contract:** an agreement between organizations that may include research or training. Generally restrictive in nature, also deliverables are usually involved.
- ▶ **Grant:** An award given to support a specific project (either research or training). Generally, there is a proposal and budget that were generated in order to receive the award.
- ▶ **Gift:** Least restrictive in nature. Does not usually include reporting requirements, may or may not have a budget.



Research Compliance Processes

- Find information on LIU CITI training requirements (including Conflict of Interest training that is required of all Investigators) at <https://www.liu.edu/About-LIU/Administrative-Departments/Academic-Affairs/Institutional-Review-Board/Training>
- If you are using human subjects in your proposal, visit <https://liu.edu/irb>
- if you are using animal subjects on your proposal, visit <https://liu.edu/IACUC>



Contracting Process

- OSP is charged with processing all contracts related to the research and grant enterprise
- OSP will review agreement and forward to Legal, Finance or IT (if applicable) for their review
- Some contracts are **VENDOR-related** and not sponsored projects contracts. Please see Finance website for these forms: <https://www.liu.edu/About-LIU/Administrative-Departments/Business-and-Finance>



Contracting Process

- ▶ IT should review and approve all agreements that involve the use of new electronic platforms or have other IT implications
- ▶ Material Transfer Agreements will be reviewed and signed off by the CFO
- ▶ Non Disclosure Agreements, Data Use Agreements and IRB Reliance Agreements will be reviewed and signed off by the CFO
- ▶ For those agreements that OSP is authorized to sign, CFO shall sign the CAP form and return all documents to OSP
- ▶ Once fully executed copies of contracts are received, OSP, Legal, Finance and IT (if applicable) will retain fully executed copies in their files
- ▶ All questions concerning intellectual property and LIU's technology transfer process should be sent to osp@liu.edu



Hand-off to Grants Management Team

- Once the contract for your grant is fully executed, OSP will complete the required forms needed to send to the Grants Management Team for the creation of your LIU Fund Account
- When your Fund Account is created you will receive an email with the chartfield number and various instructions and forms needed to charge expenses to your grant
- If desired, OSP and the Grants Management Team will also set up a meeting with you and any other members of your research team to go over the instructions and forms provided in the email and to answer any questions you may have about charging expenses to your award

Office of Sponsored Project Contact Information

For general inquiries:

osp@liu.edu





Appendix: Common Definitions of terms and acronyms used in Sponsored Research

- ▶ **Sponsored Research:** External funds given or awarded to support a specific research or training project or proposal.
- ▶ **Principal Investigator:** (PI) Person designated to be primarily responsible for the proposed research or training project. This term has specific meaning with regards to federal grants.
- ▶ **Project Director:** (PD) essentially a PI, this term is associated more often with private funding sources.
- ▶ **Co-Principal Investigator:** Has meaning at National Science Foundation (NSF) – essentially the equal of a Principal Investigator on a project, used when collaborating on a project and it makes the collaborators basically equal.
- ▶ **Co-Investigator:** a Co-Investigator is an important collaborator on a grant but not the equal of the Principal Investigator.
- ▶ **Key Personnel:** People working on a specific project whose knowledge or expertise is critical to the success of the project. All Investigators should be considered key personnel. Other researchers may be key personnel, but should only be listed as such if their contribution to the grant is substantive.



Appendix continued

- ▶ **Request for Proposal:** (RFP) Issued by a specific funder to address a specific need or avenue of research. Usually have specific funds set aside for PI's responding to the specific request. Other similar terms are Request for Applications, Request for Quotations, and Request for Services.
- ▶ **Program Announcement:** An announcement requesting applications in the stated scientific areas. Generally, money is not set aside to pay for them.
- ▶ **Request for Applications:** (RFA) Stimulates research in a well-defined scientific area. RFAs have a single application receipt date. They identify funds set aside and the number of awards likely to be funded.
- ▶ **Solicited Proposal:** Proposal that funder requested PI to submit.
- ▶ **Unsolicited Proposal:** A proposal for research funded as a result of an investigator, on his or her own, submitting a research application. Also known as unsolicited research.



Appendix continued

- ▶ **Letter of Inquiry:** A letter to a funding source requesting permission to submit a proposal or exploring interest in funding a particular topic or program.
- ▶ **Letter of intent:** A written statement expressing the intention of the undersigned to enter into a formal agreement.
- ▶ **Proposal:** a request for support of a specific research or training project or program. May include a budget or detailed description of the project.
- ▶ **Pre-award and Post-award:** Pre-award is the start of the process to receive external funding, from initial conception of the idea through the proposal development and submission process and ends when an award is made. Post-award is from the point an award is made through administration and reporting of the project until final reporting and completion of all fiscal matters related to the award.



Appendix continued

- **Direct Costs:** Costs that can be identified with a particular project or program. Allowable direct costs may include: Salaries and fringe benefits of principal investigators and supporting staff, Expenditures for project-related equipment and supplies, Fees and supporting costs for consultant services, Expenses for travel, Inpatient and outpatient costs for research subjects, publications and other miscellaneous expenses, Contract services, Costs for consortium participants.
- **Personnel:** All salaries, hourly pay for employees working on the project. Consultants and participant fees are **NOT** considered personnel costs.
- **Fringe Benefits:** Non-salary employee compensation. LIU's negotiated rate currently computes the fringe rate at 35.2% of salary for full-time employees and 9.2% for part-time staff.
- **Other than personnel services:** (OTPS) **All** expenses not related to personnel or fringe benefits. This include things like equipment, consultants, subcontracts, travel, participant or subject fees, supplies, meeting and dissemination costs, as well as tuition or tuition remission fees.



Appendix continued

- ▶ **Research supplies vs. office supplies:** Research supplies are all items used **directly** for the research project; this may include paper, pens, transparencies, test tubes. Office supplies are items used in administrative support of the research.
- ▶ **Facilities and Administrative Costs:** (AKA Indirect Costs or Overhead) Costs associated with the general operation of an institution and the conduct of its research activities. DHHS supports a policy of full reimbursement for indirect costs for most grant programs. Allowable indirect costs include: Depreciation use allowance, Facilities operations and maintenance, General administration and expenses, Departmental administration, Sponsored project administration, and Libraries.
- ▶ **Modified total direct cost MTDC:** Tuition, tuition remission, capital equipment over \$5,000, contracts over \$25,000 for the life of the grant are all excluded from a modified total direct cost on publicly funded projects only.



Appendix continued

- **Subcontract vs. Consultant:** subcontracted work is generally conducted at another institution or company, and usually has a budget for salary/fringes, supplies, etc. The sponsor requirements/terms and conditions have to be passed down to the subcontract via written agreements. Compliance also has to be monitored. A consulting agreement is generally to an individual who is not using any institutional or organizational facilities and is acting as a direct agent. He/she usually bills by the hour, by invoice, and is paid directly.
- **IRB:** The IRB (Institutional Review Board) is a federally mandated body established under the [DHHS regulations for the Protection of Human Subjects \(45 CFR 46\)](#). Its purpose is to protect the rights and welfare of human subjects recruited to participate in research activities conducted under the auspices of Long Island University (LIU).
- **IACUC:** The Institutional Animal Care & Use Committee (IACUC) ensures that every project that involves the use of vertebrate animals at Long Island University is conducted according to the highest animal welfare standards. The IACUC promotes the conduct of accurate, valid scientific research through the supervision, coordination, training, guidance, and project review