

Welcome to ORSP 101

This is the first in a series of five workshops offered by ORSP and CTE. The remaining workshops provide a more in-depth description of:

The Pre-Award Process: Nov 12, 2009

The Post-Award Process: Dec 10, 2009

Allowable Costs: Feb 4, 2010

Compliance: April 1, 2010

Where do I go from here?!



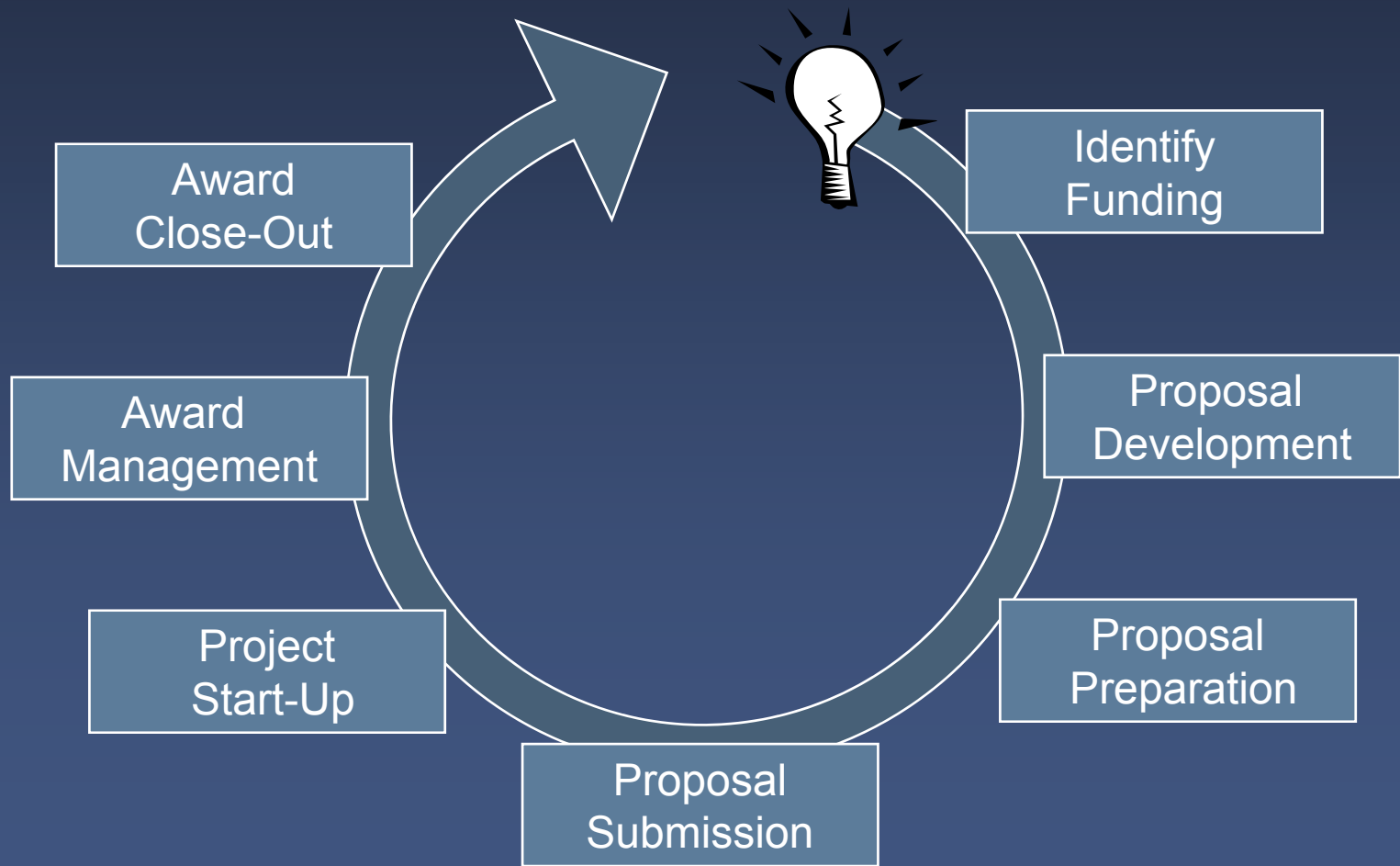
As you work your way through the presentation, some slides have additional information available. Look for the conversation bubble in the upper left hand corner of the presentation to access this information.

ORSP 101: The Grant Life Cycle

A circular arrow icon, consisting of a thick blue line forming a circle with an arrowhead pointing downwards, positioned to the right of the main title.

Office of Research & Sponsored Programs
& The Center for Teaching Excellence

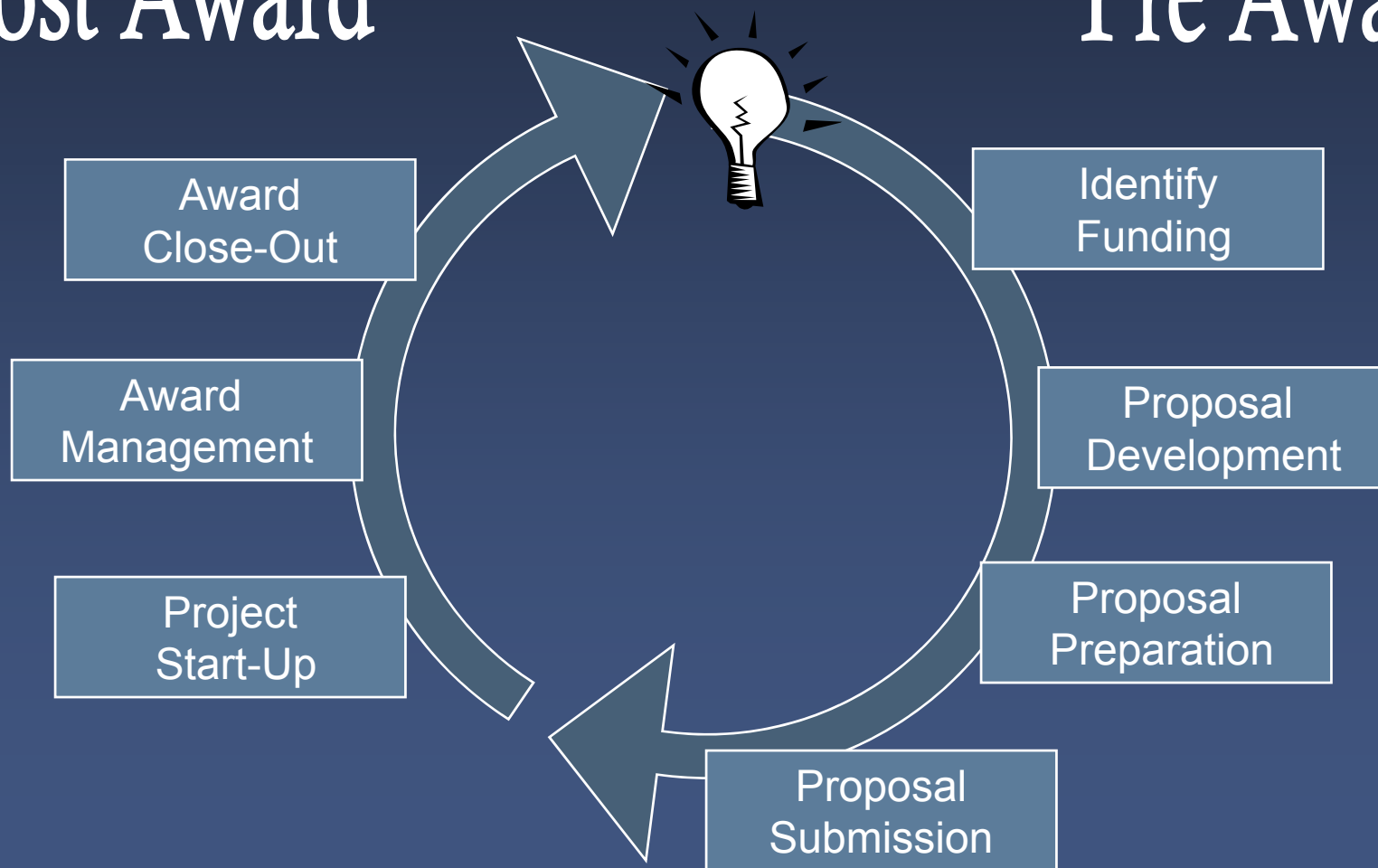
Life Cycle of a Grant



Life Cycle of a Grant

Post Award

Pre Award



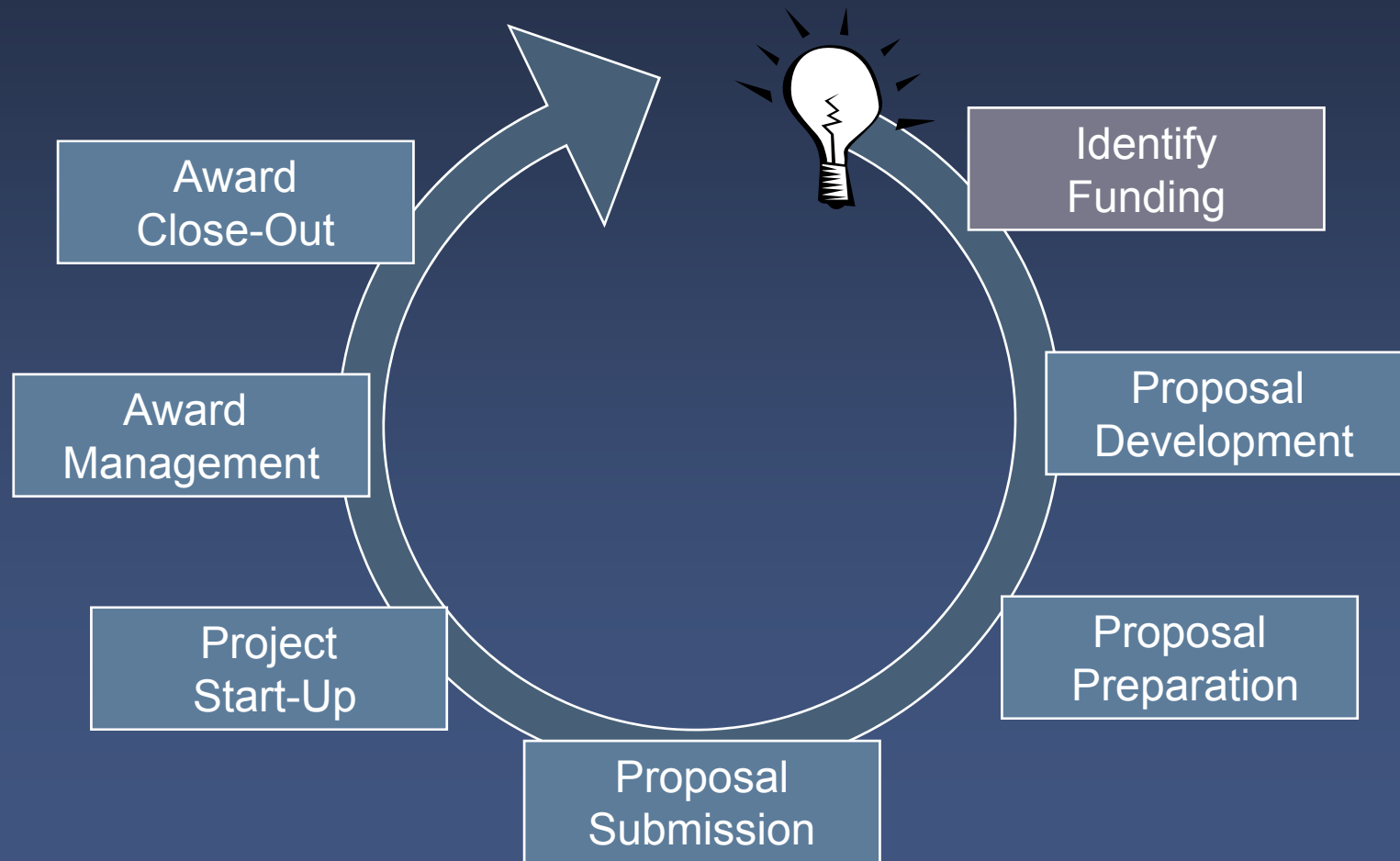
Identify Funding Sources

- **Federal agencies** (e.g. NSF, NASA, USDA, NIH, EPA)
- **State agencies** (e.g. Maine State Gov.)
- **Private foundations** (e.g. Maine Community, Libra, Noyce, and The Robert Wood Johnson Foundations)
- **Corporations, industry, business** (e.g. American Chemical society, NeLMA, Coastal Enterprises, Inc.)
- **Not-for-profit organizations** (e.g. Earthwatch Institute, The Cranberry Institute, Maine Children's Trust)
- **Other** (e.g. Maine Technology Institute, Maine Institute of Human Genetics and Health)

Identify Funding Sources continued

- There are numerous email alert systems, search engines & funding sources to explore www.orsp.umesp.maine.edu/FundingSources.htm
- ORSP Funding Opportunity Calendar www.researchfunding.umesp.maine.edu/FundOpCalSearch.asp
- Awards issued by sponsor in FY2009 www.orsp.umesp.maine.edu/ORSPDocs/Info/AwardsbySponsor2009.pdf

Life Cycle of a Grant





Proposal Development

Think about your project. What will it require?

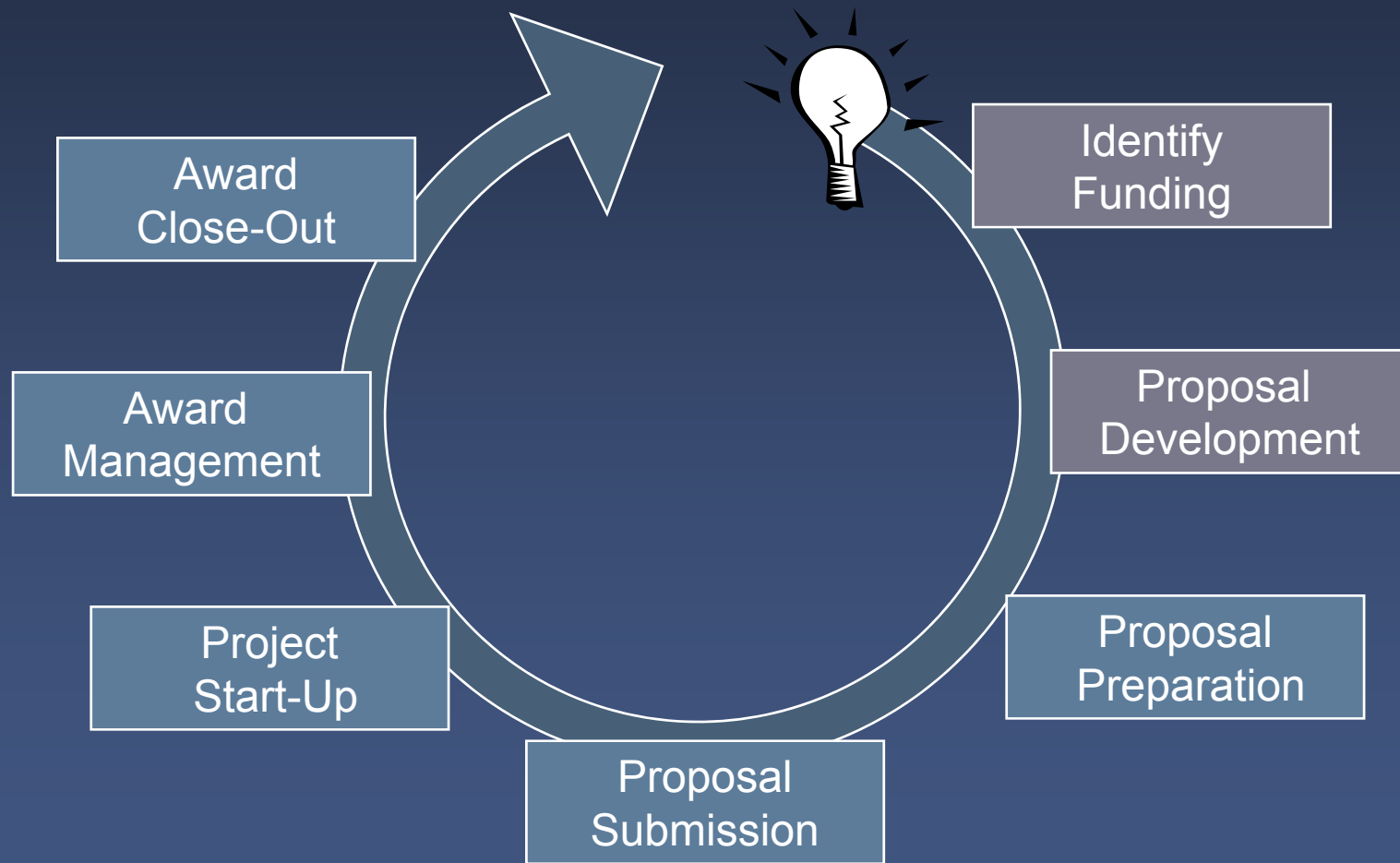
- Research team? Collaboration?
- Staffing?
- Physical Requirements?
 - Space, Equipment, Supplies, Services
- Matching Funds?
- Cost Sharing?
- Sub Award/Contract, Consultant?
- Special Consideration?
 - Use of human subjects, animals, DNA or Infectious Agents, Radioactive Material, Lasers, Export Controls, Intellectual Property

Proposal Development *continued*

- Give notice of intent to submit proposal to:
 - ORSP
 - Provide office with a copy of the sponsor guidelines or the website where they can be accessed
 - Can help develop submission timeline
 - Note: “Limited Competitions” require earlier notification to ORSP!
 - Chair, Dean or Director
 - Discuss space requirements, matching funds, cost sharing



Life Cycle of a Grant



Proposal Preparation

- Define submission timeline
- Develop content
 - Reference for developing content:
www.washington.edu/research/guide/content.html
- Start sub-awardee/contractor process (if applicable)
- Address staffing needs
- Line up any cost sharing or matching funds that will be needed

Proposal Preparation *continued*

- Prepare budget
 - General guide from ORSP:
www.orsp.umesp.maine.edu/ORSPDocs/Info/budgetguide.htm
 - Budget template from ORSP (MS Excel):
www.orsp.umesp.maine.edu/Forms.htm
- Finalize research plan text
 - A few references for proposal writing:
 - www.washington.edu/research/guide/grantwriting.html
 - <http://epscor.unl.edu/rfps/winnerscircle.shtml>

Proposal Preparation *continued*



Compliance. *Does your work involve:*

- Human Subjects?
 - Institutional Review Board for the Protection of Human Subjects (IRB)
 - Federal Health Information Privacy & Accountability Act (HIPAA)
- Animals?
 - Institutional Animal Care and Use Committee (IACUC)
- DNA or Infectious Agents?
 - Institutional Biosafety Committee (IBC)

Proposal Preparation *continued*

Compliance. *Does your work involve:*

- Radioactive Material, Radiation Producing Equipment, Class 3b or 4 lasers?
 - Radiation Safety Committee
- Foreign Travel or Collaboration with foreign nationals?
 - Export Control Regulations (ECR)
- Patent, Copyright, Trademark etc.?
 - Intellectual Property Policy
 - Department of Industrial Cooperation (DIC) Office of Research & Economic Development (ORED)



Proposal Preparation *continued*

- Prepare Sponsor-Specific Forms
 - See ORSP useful information link at <http://www.orsp.umesp.maine.edu/UMProfile.htm>

- Prepare University Forms
 - Proposal Automatic Routing System (PARS)
 - Access via web at <http://pars.umesp.maine.edu/>
 - For a list of approvals required and more information about the approval process see <http://pars.umesp.maine.edu/hSigners.htm>

Whew... You're almost there!

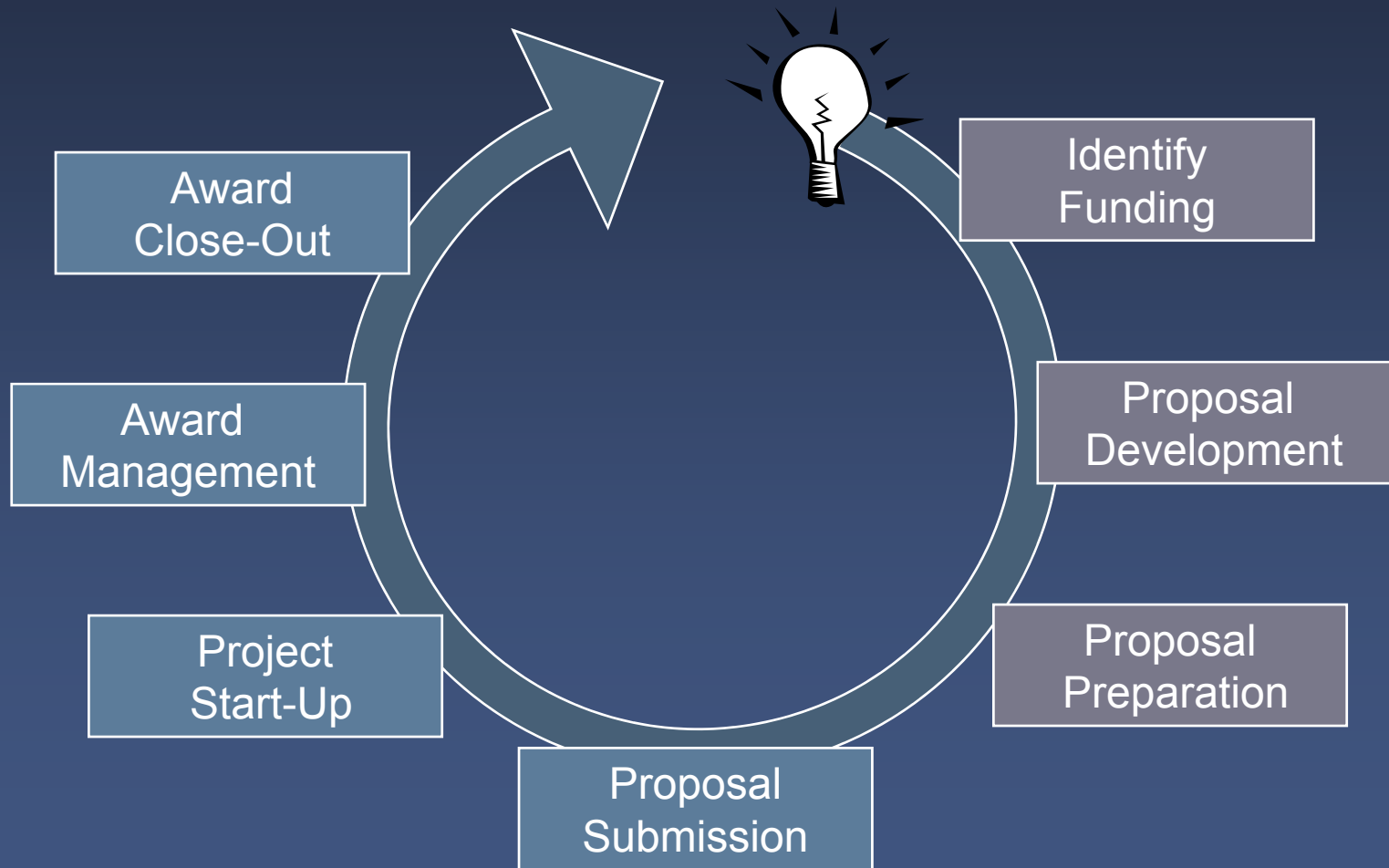


Proposal Preparation *continued*

READ THE SPONSOR GUIDELINES!!

- Follow all formatting and font requirements
- Proofread and get colleague feedback
- Mistakes or omissions could cause your proposal to be returned without review!

Life Cycle of a Grant



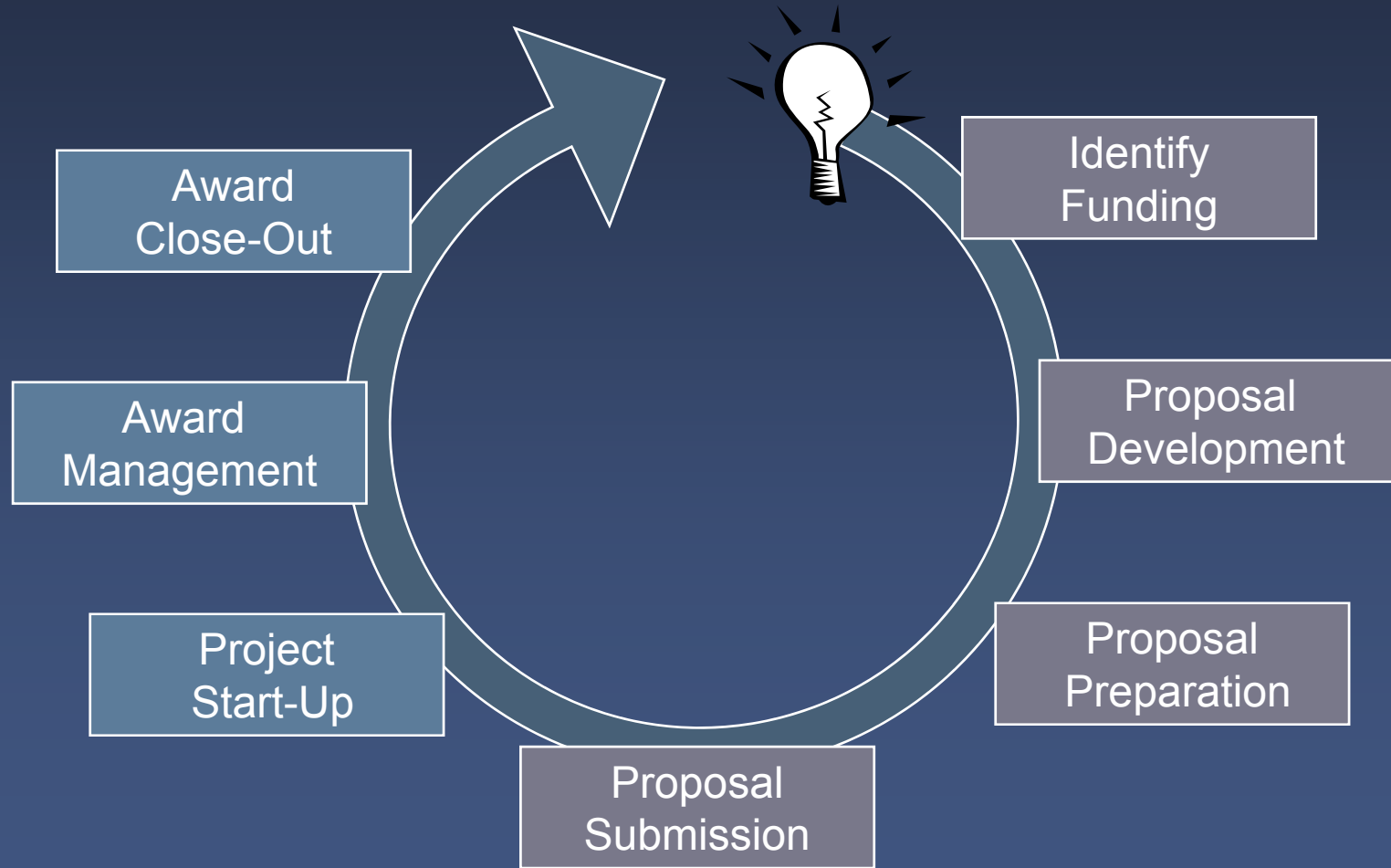
Proposal Submission

- Prepare an electronic submission for sponsor (if applicable, e.g. Fastlane, grants.gov)
- Submit proposal package to ORSP for review (electronic &/or paper)
- Modify as needed based on ORSP feedback

Proposal Submission continued

- ORSP will submit the approved proposal to the Funding Source (If a paper copy is required, the approved proposal is returned to the PI for duplicating & mailing)
- **BE AVAILABLE!** If you will be out of town on or near a deadline, please plan to finalize your proposal before leaving and provide contact information to ORSP.

Life Cycle of a Grant

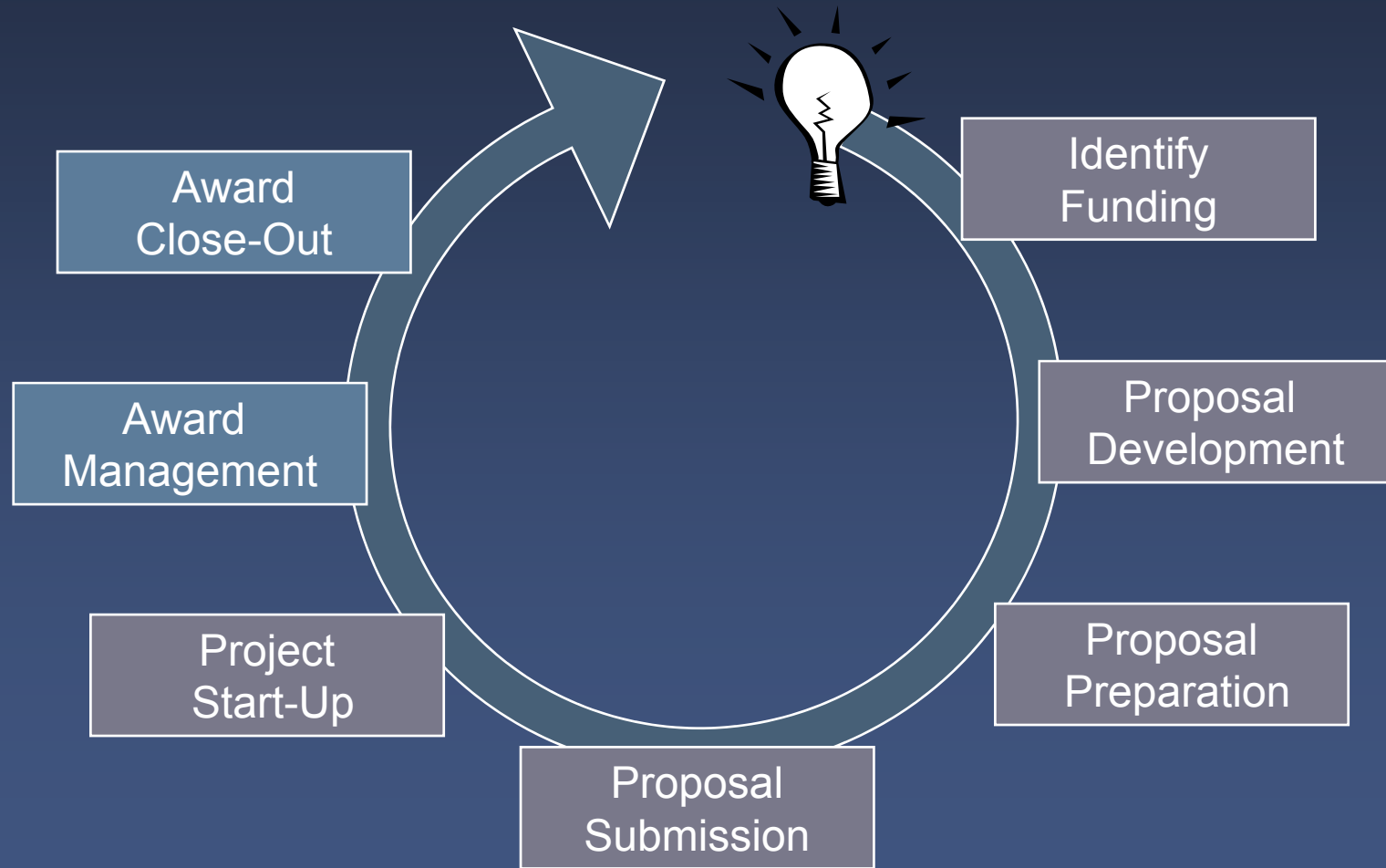


Project Start-Up



- Receipt of award notification
- ORSP assigns a project number & loads the budget into PeopleSoft
- Sub-contracts are created by ORSP and sent to PI for review
- Contact financial manager within your department to determine purchasing and hiring processes, if applicable

Life Cycle of a Grant



Award Management

- The investigator's responsibilities
 - Monthly review of budget
 - Submit progress reports to sponsor
 - Sign and return Time and Effort reports to ORSP
 - Ensure compliance with all applicable rules and regulations



For more information about the investigator's role and responsibilities see



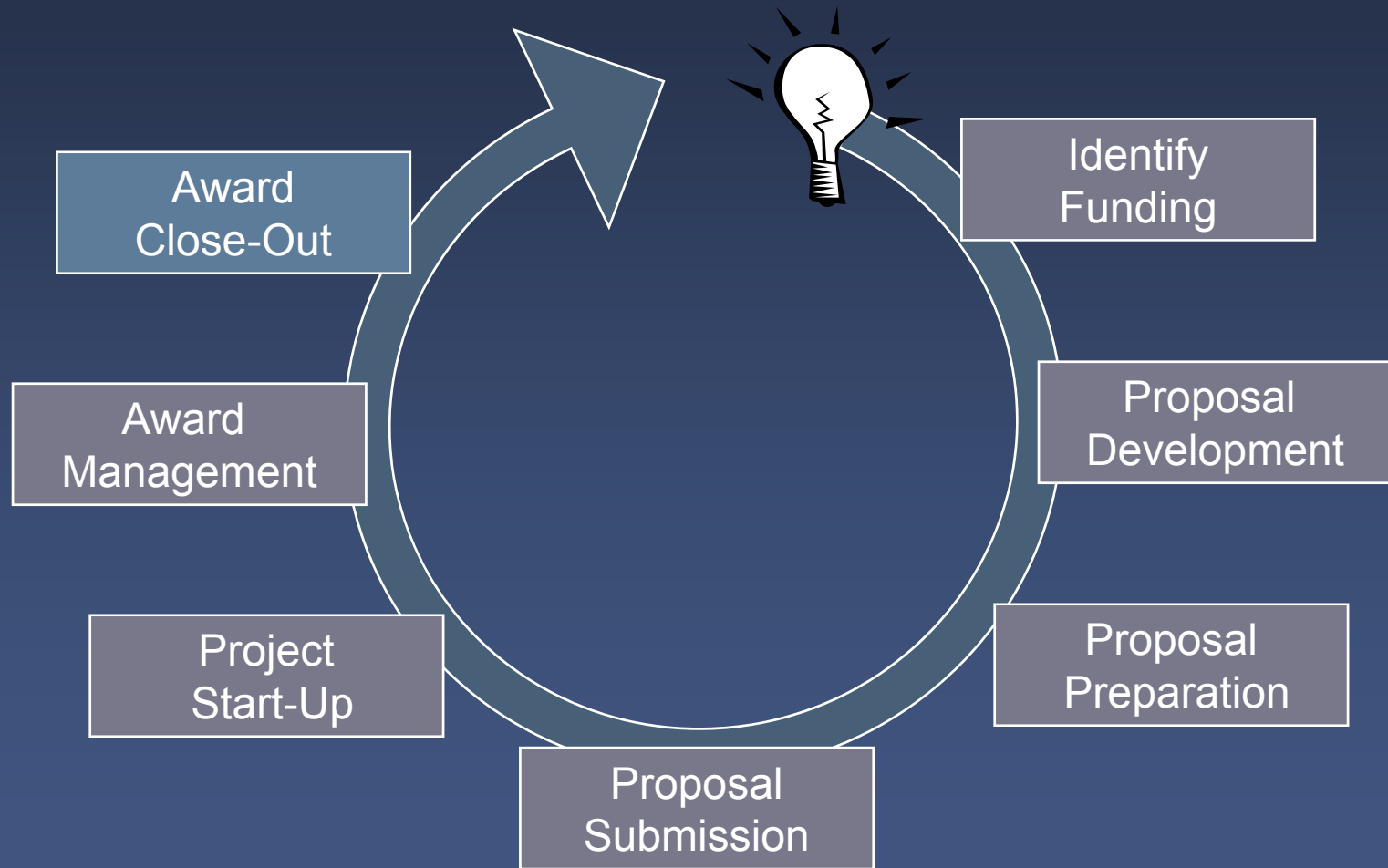
<http://www.orsp.umesp.maine.edu/ORSPDocs/Info/ORSPTraining/ResponsibilityChart.pdf>

and <http://www.orsp.umesp.maine.edu/AwardAdmin.htm>

Award Management

- ORSP's duties
 - Invoice sponsor or project drawn down
 - Prepare financial statements and submit to sponsor
 - Issue and retain Time and Effort reports
 - Compliance awareness

Life Cycle of a Grant



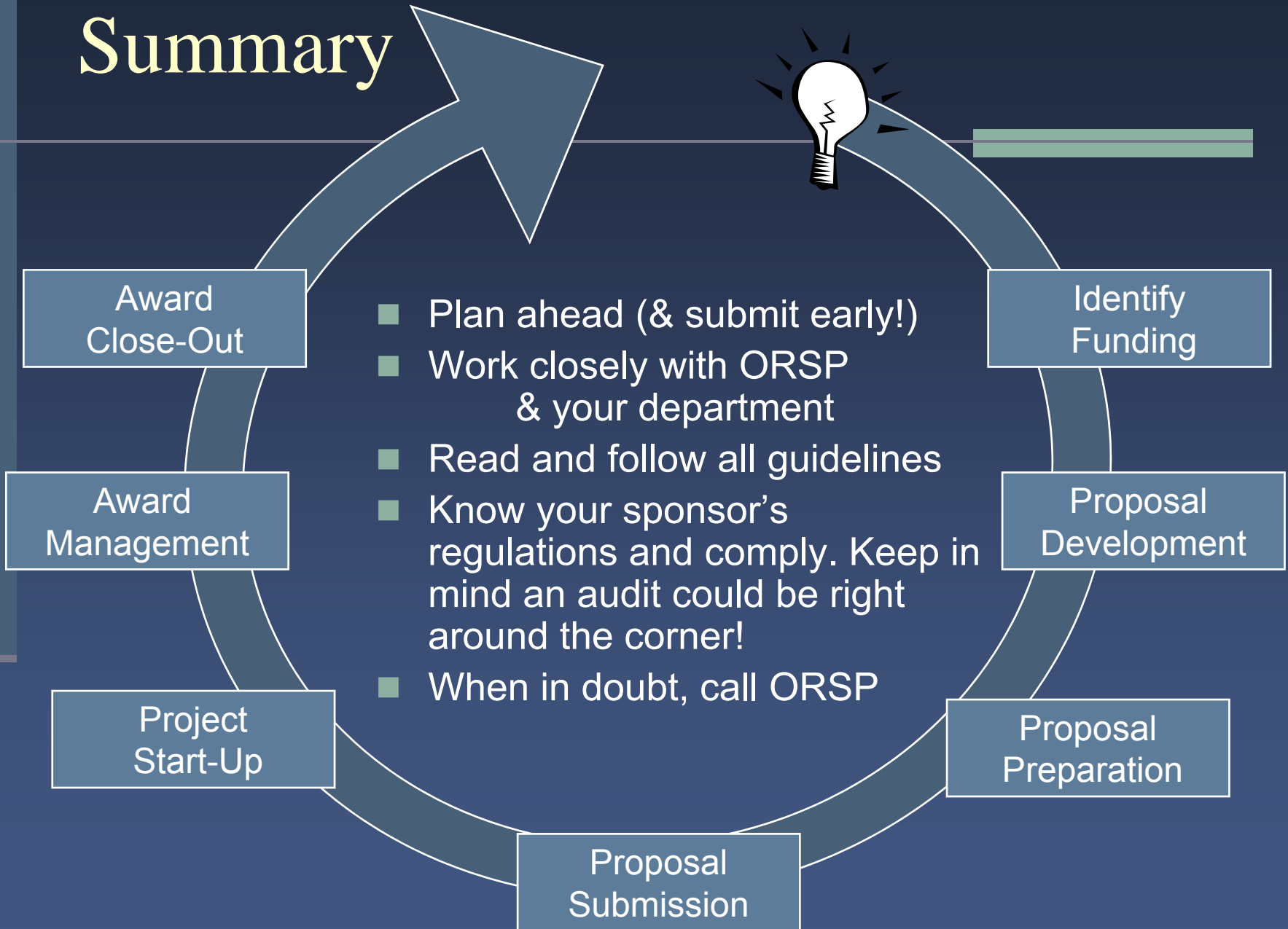
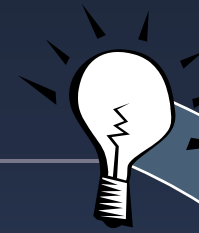
Award Close-Out

- Need more time?
 - Request a no-cost extension through ORSP via PARS:
 - More information can be found at:
<http://www.orsp.umesp.maine.edu/ORSPDocs/Info/nocostextensions.htm>

Otherwise . . .

- PI submits final performance report to sponsor with copy to ORSP
- ORSP reconciles and closes out account
- In the event of an audit, PI works with ORSP to provide requested documents

Summary



Reminder

Ready for more?

The series continues next month...

- ORSP 102: The Pre-Award Process
Nov. 12, 2009 10:00-11:30 a.m.
- ORSP 103: The Post Award Process
Dec. 10, 2009 10:00-11:30 a.m.
- ORSP 104: Allowable Costs
Feb. 4, 2010 10:00-11:30 a.m.
- ORSP 201: Compliance
April 1, 2010 10:00-11:30 a.m.

Sign up at the registration table before you leave!



ORSP Contacts

Director: Mike Hastings 581-1484

Wendy Eckert 581-2657

Sr. Officer for Research
Admin. & Development

Amanda Ashe 581-1480

Staff Associate

Pre-Award Services:

- **Charlene Kimball** 581-1478
Grant/Contract Admin. III
- **Kathy Carson** 581-3016
Grant/Contract Admin. II
- **Andrew Ines** 581-1473
Grant/Contract Admin. II
- **Caryn Ines** 581-1499
Grant/Contract Admin

Post Award & Fiscal Services

- **Arlene Russell** 581-1472
Associate Director
- **Debbie Carver** 581-1477
Grant/Contract Admin III
- **Robert Lavigne** 581-1482
Accountant
- **Wayne Astbury** 581-1481
Grant Accountant
- **Jennifer Baker** 581-1582
Financial Manager
- **Cindy Carusi** 581-1476
Admin. Assist. II
- **Gregory Kolvoord** 581-1483
Grant Accountant

Information Services

Cliff Wilbur 581-1419
Information Systems Mgr.

Robin Crocker 581-1471
Admin. Assist II

Resources

ORSP

Main page <http://www.orsp.umesp.maine.edu/>

Contacts <http://www.orsp.umesp.maine.edu/Staff.htm>

Policies & Procedures <http://www.orsp.umesp.maine.edu/Policies.htm>

FUNDING

There are numerous email alert systems, search engines & funding sources to explore:

www.orsp.umesp.maine.edu/FundingSources.htm

ORSP Funding Opportunity Calendar

<http://www.researchfunding.umesp.maine.edu/FundOpCalSearch.asp>

Awards issued by Sponsor in 2009

<http://www.orsp.umesp.maine.edu/ORSPDocs/Info/AwardsbySponsor2009.pdf>

PROPOSAL DEVELOPMENT & PREPARATION

Limited Competitions See <http://www.orsp.umesp.maine.edu/> scroll down to read section titled "Limited Competitions" Contact ORSP or Vicki Nemeth, Office of the V.P. for Research (581-3399, vicki.nemeth@umit.maine.edu)

Reference for developing content: <http://www.washington.edu/research/guide/content.html>

Staffing Information: Contact the Office of Human Resources 581-1579 or email hrweb@umit.maine.edu.
<http://www.umaine.edu/hr/> and <http://www.umaine.edu/hr/toolkit/>

Budget guide from ORSP: <http://www.orsp.umesp.maine.edu/ORSPDocs/Info/budgetguide.htm>

A Budget Template from ORSP (MS Excel): www.orsp.umesp.maine.edu/Forms.htm

References for proposal writing:

<http://www.washington.edu/research/guide/grantwriting.html>

<http://epscor.unl.edu/rfps/winnerscircle.shtml>

Preparing Sponsor-Specific Required Forms

See ORSP useful information link at <http://www.orsp.umesp.maine.edu/UMProfile.htm>

Preparing University Required Forms: PARS link <http://pars.umesp.maine.edu/>

Resources

PROPOSAL PREPARATION (cont.)

Preparation Instructions for PARS <http://pars.umesp.maine.edu/Instructions.asp>

List of approvals required for PARS and more info about the approval process
<http://pars.umesp.maine.edu/hSigners.htm>

PROPOSAL SUBMISSION

Info re: Fastlane submission at UMaine <http://www.orsp.umesp.maine.edu/Fastlane.htm>

PROJECT START-UP & AWARD MANAGEMENT

General info <http://www.orsp.umesp.maine.edu/AwardAdmin.htm>

Frequently Asked Questions http://www.orsp.umesp.maine.edu/FAQ_Postaward.htm

Detailed description of the Post-Award Role & Responsibilities of a PI at UMaine

<http://www.orsp.umesp.maine.edu/ORSPDocs/Policies/PIResp.pdf>

Policies and Procedures for Financial Disclosures and Conflicts of Interest in Extramurally Sponsored Activities <http://www.orsp.umesp.maine.edu/ORSPDocs/Policies/ConflictofInterestinResearch.htm>

Financial Review Log Template <http://www.orsp.umesp.maine.edu/ORSPDocs/Info/FinancialReviewLog.pdf>

AWARD CLOSE-OUT

No Cost Extension <http://www.orsp.umesp.maine.edu/ORSPDocs/Info/nocostextensions.htm>

COMPLIANCE/SPECIAL CONSIDERATIONS

Institutional Rev. Board for the Protection of Human Subjects (IRB)

see <http://www.umaine.edu/research/research-compliance/institutional-review-board-for-the-protection-of-human-subjects-irb/> Contact Gayle Jones 1-1498, gayle.jones@umit.maine.edu

Institutional Animal Care and Use Committee (IACUC)

see <http://www.umaine.edu/research/research-compliance/institutional-animal-care-and-use-committee-iacuc/> Contact Gayle Jones, 1-1498, gayle.jones@umit.maine.edu

Institutional Biosafety Committee (IBC)

See <http://www.umaine.edu/research/research-compliance/institutional-animal-care-and-use-committee-iacuc/> Contact Dr. John Singer, 1-2808 jsinger@maine.edu

Resources

SPECIAL CONSIDERATIONS (Continued)

Radiation Safety Committee

Link to Radiation Safety Manual

<http://www.umat.maine.edu/~warren.brown/RefresherTraining/>

Contact Warren Brown, 1-4057, warren.brown@umat.maine.edu

Laser Safety (Radiation Safety Committee)

Contact Warren Brown, 1-4057, warren.brown@umat.maine.edu

Federal Health Information Privacy & Accountability Act (HIPAA)

<http://www.umaine.edu/research/research-compliance/institutional-review-board-for-the-protection-of-human-subjects-irb/what-is-hipaa/>

Export Control Regulations (ECR)

ECR Resource List <http://www.orsp.umesp.maine.edu/ORSPDocs/Info/ECRResources.pdf>

Intellectual Property

University of Maine Intellectual Property Policy <http://www.maine.edu/pdf/intprop.pdf>

Folger Library Intellectual Property Resources

<http://www.library.umaine.edu/class/Wallace/BLE492/default.htm>