Research Support Overview

Presented by the Office of the Associate Vice President for Research and Federal Relations

January 28, 2011
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<td>• Promote and support research and scholarship of Texas State faculty</td>
<td>• Financial Conflict of Interest</td>
<td>• River Systems Institute</td>
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<td>• Liaison for faculty to OSP, Travel, HR, Procurement, General Accounting, etc.</td>
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<td>• Research Enhancement Program (REP)</td>
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Office of Sponsored Programs
Scott Erwin, Director
(we10@txstate.edu)

- Assists faculty/staff in proposal forms preparation and submission
- Oversees GAMS entry and internal routing of proposals
- Account set-up of awards and account administration
- Development and monitoring of subcontracts
- Negotiates award terms and conditions, reviews contracts
- Educates the university community on issues related to GAMS usage as well as pre-award and post-award activities

Office of Research Compliance
Becky Northcut, Director
(sn10@txstate.edu)

- Use of Human Subjects (IRB)
- Use of Animals (IACUC)
- Biosafety
- Conflict of Interest
- Scientific Misconduct
- Export Controls
- Educate the university community on compliance issues
Office of Sponsored Programs

W. Scott Erwin, Director
Kay Beauchamp, Associate Director

Pre-Award
• Joanne Palmer
• Jacque Miles
• Kara Ulibarri

Administrative
• Roxie Kenerson
• Marivel Alvarez

Post-Award
• Michele Castro
• Gail May
• Bette Taylor
Pre-Award Services Available to the University Community
Why Submit Through OSP?

• Required by University Policy
• Commitment of TXSTATE
• Application credit – inclusion in internal participation reports
• Only authorized officials may commit
Resources

GAMS Proposal Functions

Last Accessed
Proposal Number
Create/Update Proposal
Create/Update Umbrella Project
Back to Main Menu

GAMS™
Grant Application and Management System
01/27/2010
Version GAMS6.1.0.8
Build 15184
Texas State University-San Marcos

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Associate Vice President for Research
OSP Website
http://www.txstate.edu/research/osp.html

Sponsored Programs

Welcome

Research is the principal source of technological innovations and economic expansion for our state and country. The Office of Sponsored Programs (OSP) at Texas State University-San Marcos promotes externally funded research, public service, instruction, training, and other projects. OSP is the central source of information for major government agencies, foundations, and corporations which support research and other sponsored programs. OSP staff provides assistance to faculty members, administrators, and students from conceptual development and planning through implementation and administration of funded projects. Assistance is provided in identifying potential extramural funding sources through the Office of Proposal Development (OPD). OSP assists in developing proposal narratives and budgets; completing standardized application forms; ensuring compliance with all applicable federal, state and sponsor regulations; negotiating grant awards and contracts; and administering funded projects.

With outdoor laboratories as close as Agua Fria Springs, TX State students have ample opportunities to pursue exciting projects throughout their college careers. Not limited to the sciences, those projects also include many other endeavors such as geographic studies and criminal justice activities. Faculty take advantage of the ability to conduct pioneering research in a unique learning environment.

The Office of the Associate Vice President for Research and Federal Relations is responsible for administering TX State's thriving research enterprise. Texas State University-San Marcos realizes the importance of research in all sectors of society and has produced an impressive and extensive history of instructional and practical research since its establishment in 1899. TX State's expenditures from sponsored programs reached almost $26 million and expenditures for research topped $17 million in fiscal year 2008.

W. Scott Erwin, Sr., Director
Office of Sponsored Programs
JOC 429
Ph: 512-245-2102
Fx: 512-245-8434
we10@txstate.edu

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Types of Agreements

• Grants
• Contracts
• Cooperative Agreements
• Gifts
Legal & Regulatory Framework

Federal Circulars – Office of Mgt and Budget (OMB)
• *OMB Circular A-21 Cost Principles for Educational Institutions*
• *OMB Circular A-110 Uniform Administrative Requirements*

Federal Agency Rules (EDGAR, UGMS, NSF GPG, etc.)

Legislation (No Child Left Behind, Title V, etc.)

Sponsor Guidance and Budget Format

University Policies and Procedures
Proposal Development, Routing, and Submittal Process

PI has idea, identifies sponsor, and receives clearance from Chair/Dean

PI submits PNF found on research website

PI contacts sponsor’s Program Officer and interacts with Compliance Office if needed

PI Completes Proposal while working with OSP to
• Build budget in GAMS
• Complete submission forms

Following final review OSP submits proposal with appropriate signature

PI works with OSP to complete information in GAMS and initiate internal routing process

PI Completes Proposal while working with OSP to
• Build budget in GAMS
• Complete submission forms

NOTE: Proposal Notification Form (PNF) should be completed at least 2 weeks prior to due date.

Upon award info is entered into GAMS and accounts are established in SAP

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Proposal Notification Form link

http://www.osp.txstate.edu/ospforms/notification.html
Contact Sponsor & Read Guidelines

• Encourage contact with Program Officer
• Guidelines
  • Due Date/Award Date
  • Eligibility Requirements
  • Required Components
  • Submission Method-Electronic or Hard Copy

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Begin Writing

- Seek advice from peers
- Proofread
- Follow the guidelines
  - Review formatting restrictions
  - Follow any outlines exactly
PI works with OSP

- GAMS
- Budget
- Compliance
- Federal, State Regulations
- Sponsor Guidelines & Regulations
- University Policy & Procedures
- Initiate internal routing process
- Assembly and submission
Submission

• OSP submits proposal with *appropriate signature authority*

• Electronic
• Hard Copy
Time

NOTE:

- **Proposal Notification Form (PNF)** - at least 2 weeks before the due date

- **Completed Proposal** - ready for submission 3 days before the due date
What to do while waiting...

If you need to begin your project immediately and are certain that your project will receive funding....

Write to OSP requesting a **Guarantee Account** with pre-award costs for your project. Include a non sponsored program funding source (another University account) as a guarantee.

No funds or budget authority is transferred from the guarantee account unless funding is not received from the sponsor.

**Limits:** 90 days and 25% of first year budget up to a maximum of $25,000

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Award

• Review
• Approval of Terms & Conditions
• Post-Award Account Set-Up in SAP
OSP

Post-Award Services
What Every P.I./ Administrator Should Know

• What are the General Rules?

• What is the Basic Vocabulary?

• SAP administrative system
What Every P.I./ Administrator Should Know (Con’t)

• General Rules
• Major Federal Regulations
• Cost Sharing/Matching
• Salary/Effort Commitments and Reporting
• Travel and Business Expenses
• Equipment Purchases
What Every P.I./ Administrator Should Know (Con’t)

- Indirect Costs
- Consultant/Subcontract Expense
- Budgeting/Rebudgeting
- Performance Periods
- Unallowable Costs
- Cost Transfers
- Program Income
What Every P.I./ Administrator Should Know (Con’t)

• Monthly Financial Reviews
• Agency Reporting
• Invoicing
• Recharge(Service) Centers
• Regulatory Compliance
• Other Research Related Policies
• Problem Indicators
• Know Your Resources
What Every P.I./ Administrator Should Know (Con’t)

• Allocate cost benefiting multiple projects:
  – Based on proportionate benefit received, where possible
  – Based on any reasonable basis, where necessary
  – Costs may not be assigned based on fund availability, award expiration date or other inappropriate criteria

• Charges may not exceed project award
What Every P.I./Administrator Should Know:
Major Federal Regulations (Con’t)

• Federal Demonstration Partnership (FDP) Terms and Conditions [http://thefdp.org/](http://thefdp.org/)
• Agency Specific FDP Terms and Conditions
Questions?

• Training Classes are offered in each long semester
  • 1-on-1 training available anytime

Contact OSP

• Ext. 5-2102

• grants@txstate.edu
Office of Research Compliance

Dr. Michael Blanda
Assistant Vice President for Research and Federal Relations

Becky Northcut
Director, Office of Compliance

Associate Vice President for Research
Where we are, who we work with

Office of Associate Vice President for Research
Dr. Bill Covington
Dr. Michael Blanda

Office of Sponsored Programs
Scott Erwin

Research Compliance
Dr. Michael Blanda
Becky Northcut

Office of Federal Relations
Dr. Covington
Dr. Blanda

Technology Commercialization
Dr. Reddy Venumtiaka
Teresa Carey
Compliance: what, who, why? (and possibly, huh?)

• 1a: the act or process of **compliance** to a desire, demand, proposal, or regimen or to coercion
  
b: **conformity** in fulfilling official requirements

• 2: a disposition to **yield** to others

• 3: the ability of an object to yield **elastically** when a force is applied: **flexibility**
Compliance: what, who, why?

Systems or departments at corporations and public agencies to ensure that personnel 
*are aware of* and *take steps to* comply with
*relevant laws and regulations.*
Compliance: what, who, why?

• ... relevant laws and regulations
Main Areas of Compliance

Humans
- Animals
- Biosafety
- Export Controls
- Financial Conflicts of Interest
- Academic Misconduct
- Ethical Conduct of Research

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Research (and more)

- Institution has to comply
- Administrators have to comply
- Researchers have to comply
- Faculty have to comply
- Staff have to comply
- Even some students

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If institution is receiving certain types of federal funds
• If committees, boards, training have to be provided
• If they are doing certain types of research
• If they are doing research with certain types of collaborators
• If they are doing research in certain fields
• If they are doing research in an international setting

• If they are teaching or supervising certain types of projects
• If they are staffing certain projects, traveling shipping goods
• If they are doing academic projects with certain subjects

Associate Vice President for Research
Contracts & IP Assistance

Teresa Carey

Contracts & Intellectual Property Specialist
Contract Review

• Review, write, negotiate terms and conditions for sponsored research contracts

• Work closely with the Office of Sponsored Programs and Bill Fly to ensure that the terms of research contracts support the university mission and do not hinder academic freedom.
Contract Review

• Assure that we are in compliance with Federal and State law and University policy

• Works closely with the Office of Research Compliance

• Required TSUS Review (can be lengthy process)
Intellectual Property Assistance

• Provides general guidance on IP related questions and issues
  • Copyrights
  • Patents
  • Trademarks
  • Trade Secrets
Intellectual Property Management

- Receive and process IP disclosures

- The OTC is responsible for initiating the filing of protection mechanisms for university owned IP.

- Coordinates the Filing of Patents, Copyrights, Trademarks with the OCIR
  - NOT associated with university marketing i.e. Bobcat mdse is not our area
  - Work with The IP committee to make decisions on full filing

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Applied Research Partnerships

• Works with the OCIR Works to facilitate partnerships with private (company) sponsors.
Technology Commercialization

• The OTC supports technology commercialization in partnership with the CRC.
  – Arrange for market evaluations and patentability searches for disclosed technologies
  – Assist with marketing efforts
  – Assist with the formation of start-up and spinout companies
OTC

Visit Our Website:
www.otc.txstate.edu

OTC: Contact

- Teresa Carey,  
  Assistant Director  
  tc18@txstate.edu

- Reddy Venumbaka,  
  OCIR  
  sv04@txstate.edu

- 512-245-2314
Proposal Development

- Decentralized Proposal Development Efforts (Dr. Blanda)
- Resources available at Department/College Level (Dr. Blanda)
- Testing, Research Support and Evaluation Center (TREC) - (Dr. Gail Ryser)
Proposal Development Assistance

• Help groups and individuals to prepare multi-disciplinary/multi-institutional proposals

• Provide guidance for building and fostering collaborations
Time for Q&A
Thanks

W Scott Erwin, CRA CGFM
Director – Sponsored Programs
we10@txstate.edu
grants@txstate.edu
245-2102
www.txstate.edu/research

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