

Session 3

OFFICE OF SPONSORED PROGRAMS
COLORADO STATE UNIVERSITY

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Office of Sponsored Programs

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Our Partners

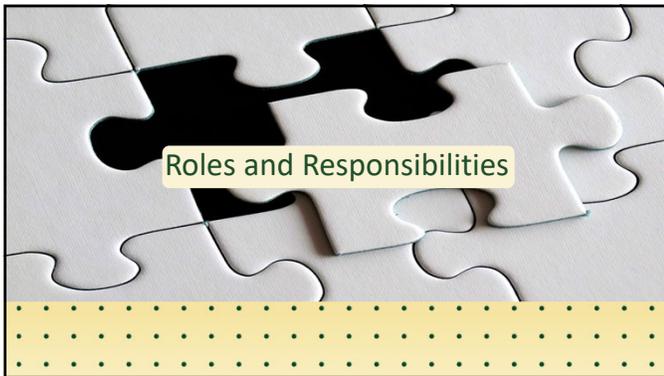
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Post-submission Follow-Up: Ensuring All is in Order		Principal Investigator	Unit/Department	College	OSP	Other Resources
Prepare additional sponsor required forms (e.g., SF-288 in Time)	Primary	Assistance				
Submit additional sponsor required forms (e.g., SF-288 in Time)	Assistance	Assistance			Primary	
Prepare relevant contract language in accordance to sponsor	Assistance	Assistance			Primary	
Request pre-award spending (disbursement) account	Primary	Assistance				
Approve/set up pre-award spending account		Assistance			Primary	Department/unit approvals needed

Award Receipt & Negotiations		Principal Investigator	Unit/Department	College	OSP	
Notice of Award, Review, and Acceptance- Getting it in Order	Primary	Assistance				
Review terms and conditions in award notice	Primary	Assistance			Primary	
Review and negotiate award notice terms and conditions	Primary	Assistance			Primary	
Review and negotiate master Research and Instrument Agreement as applicable	Assistance	Assistance			Primary	
Review and negotiate non-standard terms (intellectual Property, publication)	Primary	Assistance			Primary	
If awarded budget differs from proposed, modify budget/sign off on revised, and provide to OSP	Primary	Assistance				
Review approved budget, identify to accurate project resources use needed		Primary			Assistance	
Represented to accept award terms and conditions on behalf of the University, sign on behalf of the Board of Governors					Primary	
Upload final award documents to FISHBASE					Primary	
Provide fully signed copy of award documents to PI & unit/college for review and records					Primary	
Review Technology Control Plan and/or IT Security Plan, if applicable per terms and conditions	Primary					Secure and Global Research

<https://www.research.colostate.edu/osp/guidance/>

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Walk through the steps of an award

- 1 An award or modification is received by OSP
- 2 The OSP Team SRA or RA sends the document(s) to the OSP Post Award Team for intake and issuance of a negotiation record
- 3 The SRA is notified of the negotiation record number
- 4 The SRA begins review of documents, notifies PI(s) of any missing information or with any questions
- 5 At the same time, the SRA will begin term negotiations with the sponsor, if needed
- 6 Once terms are agreed to, the SRA gathers the necessary signatures
- 7 When everything is in place, the SRA sends the fully executed award document(s) to the OSP Award Setup team for 53 account setup

Please do not contact the OSP Post Award Team, OSP Award Setup Team, or the OSP Financial Research Administrator with award or modification questions; reach out to your OSP Team SRA instead.



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Things that delay an AWARD!

Administrative

- Sponsors
 - Overdue Project Reports
 - Missing Requirements or paperwork
 - Budget Discrepancies
 - Unallowable or Unjustified budget items
- Heavy workloads

Strategic

- ✓ Follow guidance for proposal submission
- ✓ Forward any communication from the sponsor to your OSP Team
- ✓ Make sure the documents and budget in KR PD record match the Sponsor documents
- ✓ Get your Protocols (Animal/Human) completed early
- ✓ Provide your OSP team with any requested documents quickly



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Things that delay an ACCOUNT!

Administrative

- Missing Documentation
 - Compliance
 - Kuali Research Proposal Development record
 - Cost Share
 - Work in Progress
 - Subawards
- KR PD Routing is not complete
- Separate Accounts/Budgets needed for multiple units
- Heavy workloads

Strategic

- ✓ Follow guidance for proposal submission
- ✓ Complete your annual COI disclosure when prompted
- ✓ Get your Protocols (Animal/Human) completed early
- ✓ Provide all required internal documents
- ✓ Provide your OSP team with any requested documents quickly
- ✓ Patience
- ✓ OSP Authorize Representation (Signature and Negotiation)



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Subawards at Proposal

Administrative

- Paperwork needed at Proposal for subrecipients
 - Statement of work
 - Detailed Budget
 - Detailed Budget Justification
 - Subrecipient Commitment
- NEW-ish** NIH Supplement for Foreign Subs

Strategic

- Establish your relationship
- Set expectations
- Good contact information
- Risk Assessment
- Working with small businesses may require additional risk assessment
- Sub vs. Vendor Determination

<https://www.research.colostate.edu/osp/subaward/>

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- Requirement that **foreign subrecipients provide** copies of all **lab notebooks, all data, and all documentation** that supports the research outcomes as described in the progress report, to the primary recipient with a **frequency of no less than once per year**, in alignment with the timing requirements for Research Performance Progress Report submission
- It is the PI's responsibility to ensure these are available.

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Sub-recipients

- An entity that agrees to work to perform a substantive portion of **programmatic effort** on project
- Has authority to make administrative and programmatic **decisions** and control the method and results of work
- Uses funds to carry out a program rather than provide a good or service

Vendors

- An individual or entity that supplies **products or services**
- Does not make programmatic decisions or take actions that impact a program's overall success or failure
- Is not responsible for results of the overall project

Consultants

- An individual or entity whose **expertise** is temporary, highly specialized, and required to perform project
- Does not develop the objectives of the project
- May provide recommendations, but is not responsible for programmatic decisions

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Walk through the steps of a subaward

- PI submits PI Request to Initiate a Subaward form to the OSP team
- The SRA collects all required documentation and sends it to the Outgoing Subaward Team
- Draft subaward sent to subrecipient for review. Terms are negotiated if needed, and the agreement is executed
- Subaward Manager sends a requisition request to the Fiscal Officer to initiate the PO process
- Fully approved requisition routes to OSP Subaward Invoicing team and a PO is created
- Invoices are received and reviewed by the subaward invoicing team and then forwarded to PI for approval/disapproval. Once approved sent to Accounts Payable.
- Mid-project modification authorizations come from OSP team. Amendments are issued.



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Delays at Subaward Set-up

Administrative

- Missing or poorly executed Documents at Proposal
- No indirect agreement
- High-Risk Subaward
- Staffing issues
- Not a Subaward
- PI Request to Initiate Subaward
- No Unique Entity ID (UEI) under federal funding

Strategic

- ✓ Good lines of communication
 - ✓ OSP Team and Outgoing Subaward Team
 - ✓ Subaward Institution
- ✓ Patience
- ✓ PI needs to be involved in the paperwork



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PI Request to Initiate Subaward



<https://www.research.colostate.edu/osp/forms/>



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Subaward Management

Administrative

- Monitoring progress
- Verify Invoicing
- Changes in subaward mid-project
- Timely close-out

Strategic

- ✓ Effective partnership
- ✓ Proactive management
- ✓ Responsible oversight as Pass-through-Entity (PTE)

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Strategic

Learning From

- Previous Awards – What Worked? What didn't?
 - Know your sponsor
 - Documents needed
 - Actions Required
 - Communication
- Previous Accounts
 - What caused delays in award and account setup?
 - ✓ Communicate

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VICE PRESIDENT FOR RESEARCH

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Collaborative

Research Administration Teams

Who Do I Contact?

<https://www.research.colostate.edu/osp/staff/>

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Who Do I Contact?

Outgoing Subawards

 Kyla Miller <small>Subaward Manager</small> <small>(970) 499-4378</small> <small>✉ email:kyla</small>	 Julie Morvey <small>Subcontract Administrator</small> <small>(970) 499-7600</small> <small>✉ email:julie</small>	 Steve Crawford <small>Subrecipient Risk Analyst & Invoicing Administrator</small> <small>(970) 499-4393</small> <small>✉ email:steve</small>	 Keyla Frank <small>Subrecipient Risk Analyst & Invoicing Administrator</small> <small>(970) 499-5400</small> <small>✉ email:keyla</small>
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<https://www.research.colostate.edu/osp/staff/>




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Questions?

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Session 4
TBD



Award Lifecycle Series

Thank you



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