

# Office of Sponsored Projects (OSP)

Proposal Preparation  
and  
Award Administration



<http://www.dartmouth.edu/~osp/>

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## Sponsored Projects ???

- External funds have a “**sponsor**”
- **Extramural** funding  
*funding from outside the institution*
- Old name “Grants and Contracts”



## Thayer School FY06 Sponsors



- DOD 38.9%
- NSF 17.6%
- Corporate 15.3%

**\$15.5 million of Sponsored Support**

## OSP Existence >>> linked to “strings attached” to grants



- What if grant \$ were awarded like the MacArthur “Genius” Awards?
- No Need for Sponsored Projects Office
- No Need for an Institutional (Dartmouth) Review of Proposals?
- Review for liability issues, safety

## Our Mission Statement



**“The Office of Sponsored Projects serves as a central resource to support the research enterprise by providing guidance and stewardship for the research community and the College. “**

## What we do



As the central point of contact for the institution, we:

- Identify funding
- **Assist in proposal preparation**
- **Review and sign proposals**
- **Negotiate and receive agreements, awards, subawards, etc...**
- **Manage award accounts (\$ and compliance with requirements, reporting)**



## Identify funding

- Through database available from our web site: COS, IRIS  
see <http://www.dartmouth.edu/~osp/funding/>
- Set up alert systems: COS, NSF, NIH, Grants.gov, etc
- Blitz bulletins at Dartmouth
- Other useful web sites:
  - <http://www.grants.gov/>
  - [http://www.the-scientist.com/funding/funding\\_search.html](http://www.the-scientist.com/funding/funding_search.html)
  - <http://www.grantsnet.com>
  - <http://chronicle.com/free/grants/>
  - <http://www.fedbizopps.gov/>



## Sponsors

- Federal agencies: NSF, USDA, DOD, DOE, NASA, DHHD, etc...
- Foundations
- Private organizations
- Corporations
- Another institution: reflecting a collaborative work. A subaward agreement will be created as an award document.

## Identify Funding Who to Contact at OSP



- [Shea.McGovern@dartmouth.edu](mailto:Shea.McGovern@dartmouth.edu)

## Proposal Review



- We review proposals for adherence to College rules and sponsor requirements
- Eg., every proposal must be signed by the Principal Investigator and School/Department Chair
- Specific budget requirements on salary increases, benefits, and indirect costs.
- Review of Sponsor Terms and conditions
- We sign the proposal on behalf of the College

## Proposal Submission



- Assist with submission requirements:
  - Hard copy: follow sponsor's guidelines, receipt deadline, number of copies, etc....
  - Electronic submission: NSF Fastlane, NIH Commons, Grants.gov, etc.

## Awards



- **Grants** –investigator discretion over design and sponsor “assists” with \$
- **Contracts** – sponsor “buys” a service from investigator
- **Cooperative Agreements** – sponsor is a research “partner”

## Negotiate Agreements (awards)



- **Grants** require little negotiation, the most common exception sharing the benefits of intellectual property with foundations
- **Federal Contracts** may require significant negotiation for development ><basic research
- **Industry Contracts** often contain restrictions on intellectual property and publication rights

## Grants



- Made for a stated **purpose**, specified in writing, for a stated period of time.
- The Principal Investigator named in the award is responsible to carry out the project within the funding limit.
- No substantial involvement by sponsor

## Contracts



- A contract is an agreement between two or more people to do a specific work set forth in writing and enforceable by law.
- The sponsor dictates the activities.
- It has a greater number of terms and conditions.
- The PI has less latitude to make changes.
- Danger of “work-for-hire” contract terms.

## Cooperative Agreement



- A cooperative agreement is an award of funds included in a written instrument executed by the authorized representative of the awarding agency.
- Made for a stated purpose, specified in writing, for a stated period of time.
- The Principal Investigator, or Project Director, named in the award is responsible to carry out the project within the funding limit.
- There is substantial involvement by the sponsor during the performance of the project.

## Types of Terms & Conditions

(Federal Agency Sponsors)



- **Project Requirements**
  - Need an approved protocol (animal or human)
  - Institutional signature on proposal
  - Approvals from sponsor to rebudget, extend the budget period, etc.
- **Spending Controls**
  - Forbidden to use federal funds for .....

## Spending Control



### Fly America Act

- Requires the use of US airlines, “code shares” are allowed
- Price of ticket is irrelevant
- Inconvenience is somewhat relevant

## Fly America – exceptions



- (1) If a U.S. flag air carrier offers nonstop or direct service (no aircraft change) from your origin to your destination, you have to use a U.S. air carrier
- (2) UNLESS, use of the U.S. air carrier would extend your travel time, including a delay at your origin, by 24 hours or more.

## Fly America – exceptions



- (3) If a U.S. flag air carrier does not offer nonstop or direct service (no aircraft change) between your origin and your destination, you MUST use a U.S. air carrier on every portion of your route where the U.S. carrier provides service, Unless, when compared to using a foreign air carrier, use of the U.S. carrier would **(a) increase the number of aircraft changes you make outside the U.S. by 2 or more**; **(b) use of the U.S. air carrier would extend your travel time by at least 6 hours or more**, or **(c) the use of a U.S. air carrier would require a connecting time of 4 hours or more** at an overseas interchange point.



## Terms and Conditions Contrary to Our Mission



## Negotiate Agreements

- **FAR 52.227-17 Special Works**  
Prevents the release, distribution and publication of any data first produced in the performance of the award.

## FAR 52.227-17 Special Works



(d) *Release and use restrictions.* Except as otherwise specifically provided for in this contract, the **Contractor shall not use** for purposes other than the performance of this contract, **nor shall the Contractor release, reproduce, distribute, or publish any data first produced** in the performance of this contract, nor authorize others to do so, **without written permission** of the Contracting Officer.

## DFAR 252.204-7000 Disclosure of Information



Prevents the release of any data without sponsor approval.

(a) The Contractor shall not release to anyone outside the Contractor's organization any unclassified information, regardless of medium (e.g., film, tape, document), pertaining to any part of this contract or any program related to this contract, unless—

- (1) The Contracting Officer has given prior written approval; or
- (2) The information is otherwise in the public domain before the date of release.

## Award Management



- We follow government regulations or sponsors terms and conditions as negotiated:
- Financial reporting and billing
- OMB A-21: Cost Principles for Educational Institutions
- OMB A110: Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and other Non-profit Organizations
- OMB A128 and A133: Audits
- Federal Acquisition Regulations (FAR)

## Award Management



- Re-budgeting
- Requests for time extensions
- Requests for carry over of funds
- Reporting -- \$ and Progress
- Changes in Key Personnel
- Changes in Project Scope

## **Institutional Policies --Conflict of Interest**



- Updated disclosure required annually from all sponsored investigators and key personnel
- Purpose:
- Identify potential conflicts of interest
- Ensure that no unresolved conflict exists between sponsored activities and outside interests and activities
- Form is located at <http://www.dartmouth.edu/~osp/forms.html>

## **Dartmouth Conflict of Interest Policy**



In part, a response to federal requirements of recipients of grants from the National Institutes of Health and National Science Foundation

## National Institutes of Health (PHS)



42 CFR Part 50, Subpart F, “Responsibility of Applicants for Promoting Objectivity in Research for Which PHS Funding is Sought.

- promotes objectivity in research by establishing standards to **ensure that the design, conduct, and reporting of research funded under PHS grants or cooperative agreements will not be biased by any conflicting financial interest of an investigator.**

## National Institutes of Health



- “written and enforced administrative process to identify and manage, reduce, or eliminate conflicting financial interests with respect to research projects for which NIH funding is sought”
- inform NIH that a financial conflict of interest has been identified, ensure that the interest has been addressed in accordance with the regulations by indicating whether the conflict has either been managed, reduced, or eliminated

## Conflict of Interest – Cont.



- Thresholds
  - 5% equity interest in company related to sponsored activity
  - Managerial position related to sponsored activity
  - Payment exceeding \$10,000 from an organization related to...
  - Includes immediate family members; excludes positions and income from non-business orgs.

## Export Controls



restrict the export of certain technology or technical data, such as military applications (regulated by ITAR) or commercial applications that may also have value in a military context (regulated by EAR), overseas and **to foreign nationals working in or visiting the United States.**

## Export Controls – Military



- I - Firearms, Close Assault Weapons and Combat Shotguns
- II- Guns and Armament
- III- Ammunition/Ordnance
- IV- Launch Vehicles, Guided Missiles, Ballistic Missiles, Rockets, Torpedoes, Bombs and Mines
- V- Explosives and Energetic Materials, Propellants, Incendiary Agents and Their Constituents
- VI- Vessels of War and Special Naval Equipment.
- VII- Tanks and Military Vehicles
- VIII-Aircraft and Associated Equipment
- IX- Military Training Equipment
- X- Protective Personnel Equipment

## Export Controls – Military Use



- XI- Military Electronics
- XII- Fire Control, Range Finder, Optical and Guidance and Control Equipment
- XIII- Auxiliary Military Equipment
- XIV-Toxicological Agents, Including Chemical Agents, Biological Agents, and Associated Equipment
- XV- Spacecraft Systems and Associated Equipment
- XVI- Nuclear Weapons, Design and Testing Related Items
- XVII- Classified Articles, Technical Data and Defense Services Not Otherwise Enumerated
- XVIII-Directed Energy Weapons
- XIX- Reserved
- XX- Submersible Vessels, Oceanographic and Associated Equipment
- XXI- Miscellaneous Articles

## Export Controls – Dual Use



- 0-Nuclear Materials, Facilities & Equipment (and Miscellaneous Items)
- 1-Materials, Chemicals, Microorganisms, and Toxins
- 2-Materials Processing
- 3-Electronics Design, Development and Production
- 4-Computers
- 5-Telecommunications and Information Security
- 6-Sensors and Lasers
- 7-Navigation and Avionics
- 8-Marine
- 9-Propulsion Systems, Space Vehicles and Related Equipment

## Export Controls -- Impact



- No effect on most university research
- **Potential** impact on
  - Ability of foreign students or researchers to participate in research involving a controlled technology (mostly under ITAR)
  - Ability to provide services (including training in the use of controlled equipment) to foreign persons (ITAR, EAR, OFAC)
  - Ability to send controlled equipment to foreign countries (ITAR, EAR, and OFAC)

## Exceptions and Exclusions



A license is not required to disseminate information if one of three exclusions applies:

- Fundamental Research Exclusion (ITAR, EAR)
- Employment Exception (ITAR only)
- Education Exclusion (ITAR, EAR)

## Contacting OSP



- <http://www.dartmouth.edu/~osp/>
- **sponsored.projects@dartmouth.edu**