PROPOSAL SUBMISSION & AWARD NEGOTIATION
What is the purpose of the Cover Form?

This is a university form that provides details at a glance of who & what schools/colleges are involved.

E-Cover Form currently in pilot phase:

https://ssbprod.auburn.edu
AU Extramural Cover Form

Principal Investigator Eligibility

Statement of Principal Investigator Eligibility

When Auburn University submits proposals to external sponsors and accepts awards for sponsored projects, the university assumes significant financial and legal obligations. Sponsors fund projects based on the professional expertise of the Principal Investigators submitting proposals; however, the formal award is made in the name of Auburn University. Under the general oversight and authority of Auburn University, the Principal Investigator of a sponsored project is the individual who bears primary responsibility for technical compliance, completion of programmatic work, fiscal stewardship of sponsor funds, and compliance with administrative requirements of the project. Thus the university must ensure that individuals serving in the capacity of Principal Investigator have the technical competence and administrative capabilities to carry out a sponsored project. The following Statement of Principal Investigator Eligibility provides institutional requirements for who may serve as a Principal Investigator on an externally sponsored project at Auburn University.

Any individual who holds one of the following positions may be identified as a principal investigator for sponsored activities:
- Tenure-track faculty (full, associate, and assistant professors)
- Non-tenure-track research faculty (full, associate, and assistant research professors)
- Research Fellow IV
- Director of a formal university Institute or Center
- Librarians holding faculty status equivalent to or greater than Assistant Professor

Any individual who holds one of the following positions may be identified as a principal investigator for sponsored activities:
- Instructors
- Adjunct/Affiliate faculty
- Emeritus faculty
- Carrels
- Research Fellow I
- Post Doctoral Fellow

On a case-by-case basis, the Department Head and Dean of the performing unit can recommend an individual who holds one of the following positions as a Principal Investigator. Approval of the Vice President for Research is required.
- Please note that matters of National Security, Export Control, or immigration status may affect approval of such requests:
  - Visiting faculty
  - Visiting scholars

In some cases, a sponsoring agency may have restrictions for who may serve as a Principal Investigator on a particular project or program that are more stringent than Auburn University policy. In these cases, the sponsor’s requirements will take precedence over institutional policy for that particular project. In the case where a sponsor may require, allow, or expect an individual to serve as a Principal Investigator who, under normal Auburn University policy, would otherwise not be eligible, the individual will have a tenure-track faculty member serve as a Co-Principal Investigator for internal purposes and assume responsibility for compliance with sponsor and institutional requirements. Fellowships or other training awards are examples where sponsor and institutional requirements may conflict.

If the Department Head and Dean are confident in the abilities of an individual (who would otherwise be ineligible) to serve as a Principal Investigator, the Department Head or Dean may request, in writing to the Vice President for Research, a deviation from policy. Such request will also contain a statement by the Department Head and Dean that he or she will assume full responsibility for the actions of that individual in their capacity as Principal Investigator.

Individuals allowed to serve as Principal Investigators on sponsored activities are expected to comply with the Auburn University statement on the Roles and Responsibilities of Individuals engaged in sponsored activities. Nothing in this statement is intended to conflict with anything in the other. Questions of possible conflicting statements will be addressed to the Vice President for Research for clarification.

This statement is accepted by the Program Management Council [Signature]

September 13, 2001
Date
Centralized versus Decentralized Proposal Process

• Which one does your unit fall under???
Research Oversight Committees: Overview

IBCs (Biosafety), IRBs (Human Subjects) and IACUCs (Animal Subjects) have joint purview over a number of types of research, and ideally collaborate in the review of such research.
S4 EP21: The Agreement Dissection
What’s Going on Here?

- Institutions using live vertebrate animals must establish an Institutional Animal Care and Use Committee to oversee and evaluate all aspects of the institution's animal care and use program.
- The IACUC is a self-regulating entity with authority that is derived from two sources:
  - Animal Welfare Act, which is administered through USDA Animal Plant Health Inspection Service.
  - Health Research Extension Act, which is administered through the Office of Laboratory Animal Welfare (NIH).
What’s Going on Here?

• There are serious consequences for protocol violations and noncompliance

• Investigators, departments, schools, and colleges can lose funding and the university could lose the ability to work with animals in any capacity
S8 EP 15: The Comic Book Store Regeneration
What’s Going on Here?

• There are three questions utilized to determine if an activity is human subjects research:
  – Is it research?
  – Is it generalizable knowledge?
  – Does the research involve human subjects?

• The rules contained in 45 CFR § 46.101 (Protection of Human Subjects) are enforced by The Office for Human Research Protections (OHRP)

• The responsibilities of OHRP include education, compliance oversight, and administration of assurances
What’s Going on Here?

- OHRP’s Division of Compliance Oversight (DCO) evaluates, at OHRP’s discretion, written substantive indications of noncompliance with 45 CFR 46.
- OHRP asks an institution involved to investigate the allegations and to provide OHRP with a written report of its investigation.
- The Office then determines what, if any, regulatory action needs to be taken to protect human research subjects.
S3 EP1: The Electric Can Opener Fluctuation
What’s Going on Here?

• Fabrication is the intentional act of making up data or results and recording or reporting them.
• It calls into question the integrity of the data and represents serious issues in scientific ethics.
• Represents 1/3 of the definition of research misconduct, along with:
  – Falsification: manipulating research or changing data so the research is not accurately represented.
  – Plagiarism: taking credit for another person's ideas/results without giving appropriate credit.
What’s Going on Here?

• Why does research misconduct happen?
  – Career pressure (tenure, reputation, fame)
  – Conflict of interest / financial motivation
  – Laziness / ease
  – Lack of PI oversight
  – Poor training
S8 EP11: The Clean Room Infiltration
**NIH Guidelines** apply to rDNA research that is:

- Funded by the NIH—term and condition of NIH funding
- Performed at or sponsored by an institution that receives any NIH funding for recombinant DNA research

**Research Involving Recombinant DNA Molecules - NIH Guidelines**

- Specify practices for constructing and handling:
  - Recombinant DNA molecules
  - Organisms and viruses containing recombinant DNA molecules
- Definition
  - Constructed outside living cells by joining natural or synthetic DNA segments to DNA molecules that can replicate in a living cell
  - Molecules resulting from the replication of those described above
Institutional Responsibilities under the *NIH Guidelines*

- Establish and implement policies for the safe conduct of recombinant DNA research
- Establish an Institutional Biosafety Committee
- Assist and ensure compliance with the NIH Guidelines by investigators
- Ensure appropriate training for IBC members and staff, PIs, laboratory staff
- Determine necessity for health surveillance of personnel
- Report any significant problems or violations to Office of Biotechnology Activities within 30 days
What Is Conflict of Interest?

1. Institutional Interest/Duty
   - Research integrity
   - Education
   - Patient welfare

2. Outside Interest
   - Financial gain
   - Recognition

   Judgment

   Possible Adverse Outcome

   Undue Influence
### Circumstances Creating Potential Conflicts of Interest

<table>
<thead>
<tr>
<th>Ownership and equity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outside management positions</td>
</tr>
<tr>
<td>Paid consulting</td>
</tr>
<tr>
<td>Honoraria</td>
</tr>
<tr>
<td>Recruitment bonuses/incentives</td>
</tr>
<tr>
<td>“Finders fees”</td>
</tr>
</tbody>
</table>
THE LAB
AVOIDING RESEARCH MISCONDUCT

http://ori.hhs.gov/TheLab/TheLab.shtml
Where Does the Money Come from?

- Federal Government
- State/Local Government
- Nonprofit Organizations
- Educational Institutions
- Foundations
- Industry
Types of Sponsored Activities

- Research and development
- Public service and extension
- Construction
- Instruction
Types of Proposals

- Preliminary
- Solicited
- Unsolicited
- Limited Submission
- Supplemental
- Renewal
Preliminary Proposals

**Length**: Generally 3 - 5 pages

**Format**: Cover letter and 3 - 4 page proposal

**Elements to be covered:**

- Areas of research/content of project (specific)
- Needs and purpose statement
- Unique qualifications, abilities, and facilities
- Benefits/anticipated results of the project
- General estimate of cost (no detailed budget)
Solicited Proposals

- Sponsors solicit formal proposals by publishing a specific program announcement.
- Researchers responding to the program announcement write the proposal to meet the sponsor’s program guidelines. Deadlines may occur annually or several times a year.
- Most new (solicited) proposals are submitted for competitive review by the sponsor, in most cases, through a peer review.
- Proposals submitted in response to these specific work statements may contain specific terms and conditions and formatting requirements.
S6 EP14: The Cooper/Kripke Inversion
What’s Going on Here?

• In some programs, sponsors restrict the number of proposals an institution may submit
• This requires institutions to screen pre-proposals or nominations to determine which will be submitted
• How does the process work at different institutions?
• What are the challenges/barriers to the process?
• What happens when too many proposals are submitted?
• Have sponsors shifted their administrative burden?
**Supplemental proposals** request additional support of a funded project. Examples of this type of funding include the National Science Foundation **Research Experience for Undergraduate** (REU); **Research Opportunity Award** (ROA); **Research Experience for Teachers** (RET) and the National Institutes of Health **Research Supplements to Promote Diversity in Health-Related Research** program.

A competing **renewal proposal** (also called a competing continuation) is a request for continued funding of a project for which funding is about to terminate. Such proposals are similar to "new" proposals and must be routed and approved in the same manner.

**Unsolicited proposals** are investigator-initiated projects submitted to a sponsor but not in response to a specific solicitation. The area of activity should be of interest to the sponsor.
Sorry, but our foundation no longer uses an online form. Just send us your grant application as a tweet.
REVIEW OF TERMINOLOGY
(see handout)
AWARD NEGOTIATIONS

Clearing the last hurdles
Federal v. Non-Federal Awards

• Federal assistance awards
  – Minimal negotiation of award terms
  – Negotiations focus on budget and scope of work
  – Typically between PI and Program Officer

• Federal contracts
  – Negotiation covers
    • Programmatic requirements
    • Financial and administrative requirements
    • Occur in stages ending with best and final offer
    • Involves teams from each side
      – PI, SPO, department administration
      – Program Office and Contracting Officer
You didn’t make any of the contract changes we agreed on last month.

That’s how I negotiate.

I’m not authorized to make any changes to the contract.

And the executives who have that power will think I’m not doing my job if I ask them to do it.

So I agree to everything you ask, then I don’t put any of it in the contract.

Over the course of several months, I hope to wear you down and make you sign the contract as is.

Can you at least change section three the way I asked?

Sure. No problem.

I’ll see you in a month.
Federal v. Non-Federal Awards

• Negotiation of non-federal awards often focus on
  – Intellectual property
    • Ownership, licensing, reporting, background inventions
  – Data use rights, freedom to publish, ownership of deliverables
  – Warranty
  – Choice of law and venue*
  – Indemnification*
  – Financial reporting & documentation requirements
  – Payment terms
  – Confidentiality
Let’s take a web tour!

https://cws.auburn.edu/ovpr/
Research Administration Hierarchy
Sponsored Programs

Gene Taylor
Director

Darren May
Assistant Director

eRA Administration Team
Gwen Eppling, Tammy
Williams, Linda Kerr, Cathy
Rosa, Student Support

Jessica Parker
Contract Administrator

Nick Pugh
Contract Administrator

Carol Baker
Contract Administrator

Diane Anderson
Contract Administrator

Ginger Phillabaum
Contract Administrator

Adam Foutz
Contract Administrator
Proposal Services & Faculty Support

Dr. Jennifer Kerpelman
Interim Vice President for Research

Tony Ventimiglia
Director
Proposal Services and Faculty Support (PSFS)

Jonathan Cullum
Manager
Communications & Marketing, VPR

Dr. Robert Holm
Associate Director
Proposal Services and Faculty Support (PSFS)

Chase Schaum
Proposal Services Administrator II

Rachel Simpson
Proposal Services Administrator III
Contracts and Grants Accounting

- Director
  - Assistant Director
    - Manager (Create Team)
      - Accountant
      - Accountant
      - Accountant
    - Manager (Federal & University Team)
      - Accountant
      - Accountant
      - Accountant
    - Manager (State & Other Team)
      - Accountant
      - Accountant
      - Accountant
    - Financial Assistant (eSWT, Payroll)
      - Financial Assistant (Collections)
      - Financial Assistant (Invoices)
Rachel Simpson, Proposal Services Administrator III
Proposal Services and Faculty Support
bradfra@auburn.edu

Tony Ventimiglia, Director, Proposal Services and Faculty Support
ventiaf@auburn.edu