Welcome to the March issue of The Sponsored Research Monthly. I hope 2016 has been good to you so far, and wish you continued success and happiness this year. This is a very busy and consequential time of the year for AU sponsored research, primarily because of the pending implementation of two very important sponsored research policies: a proposal submission policy and a subrecipient monitoring policy. The latter is necessary for compliance with the Uniform Guidance. This issue contains the new proposal submission policy, signed by Provost Bass and taking effect on May 1, 2016. I encourage you to take the necessary time to read the entire policy and familiarize yourself with its contents. This new policy supersedes the former language in the PI Handbook. The latter will be edited over time as some of its content is converted into formal policy. As has been mentioned at GAR meetings in the past, a major difference between policy and guidance is that the former can be audited for compliance. While some individuals in the sponsored research world think that only financial transactions are audited, it is more correct to say that pre-award activities can be audited too. In fact, the NSF was in OSP for 3 days a month ago conducting a desk review.

The new subrecipient monitoring policy, with primary drafting done by GCA Director Deominic Napoleon, will ensure AU compliance with the Uniform Guidance. Once that is finalized and ready for roll out, we appreciate your cooperation and partnership in ensuring a smooth implementation. As always, I want to thank you in advance for your efforts in strengthening the AU sponsored research ecosystem. More updates over the next few months are forthcoming as completion of the NCURA Peer Review Report is realized.

Best regards,

Jim Casey
OSP Director
University Policy: Proposal Submission Policy for Sponsored Projects

Policy Category: Research Policies

Subject: Policy and Process for Submission of Proposals for Sponsored Projects

Offices Responsible for Review of this Policy: Office of Sponsored Programs

Procedures: Included in document.

Related University Policies: Distinguishing between Gifts and Sponsored Projects; Facilities and Administrative Costs on Sponsored Projects; Principal Investigator Eligibility on Sponsored Research Projects; Principal Investigator's Handbook (PDF)

I. SCOPE
This policy applies to the routing and submission of applications to external funders for funds in support of sponsored research, service, educational and scholarly projects by faculty, staff and administrators at the university. This policy governing proposal routing and submission is designed to enhance collaborative working relations among AU units that support faculty members’ efforts to obtain sponsored research funds from external sponsors. This policy supersedes previous portions of the PI Handbook, as well as the proposal submission policy and process memo authored by Dr. Jonathan Tubman, dated November 21, 2011.

II. INTRODUCTION
American University encourages its faculty and administrative staff to obtain funding from external sources in support of research, service, educational and scholarly activities. In accordance with applicable laws, as well as national best practices in research administration, and external funder guidelines for proposal development, sufficient time for conducting compliance checks on applications for sponsored awards to the university is essential to assess and manage enterprise risk prior to the stages of award negotiation and acceptance.

The technologies supporting proposal submission to external funders change regularly, although electronic proposal submission systems have existed for nearly twenty years. While U.S. Government proposal submission systems (e.g., Grants.gov, NSF Fastlane) largely operate problem-free, individual proposal submission systems for non-federal funders have proliferated. These newer foundation-based proposal submission systems are not 100% reliable all the time, are unique in their requirements, and require special attention to the timing of proposal development, routing and submission. Thus, in addition to the need to conduct compliance checks, the potential for unreliability and uniqueness in some electronic proposal submission systems supports the use of internal proposal submission deadlines to ensure that proposals for external funding are complete, meet the sponsor’s requirements and are submitted correctly via electronic proposal submission systems.
III. DEFINITIONS

**Cayuse:** The internal university routing and submission software system that academic units and the Office of Sponsored Programs (OSP) utilize to complete the pre-award proposal process.

**External Funder:** An outside entity or individual who provides sponsored project funding in support of research and development, service, educational and scholarly activities.

**Funding Instrument:** An award or other funding mechanism provided by an external funder. These instruments include, but are not limited to, grants, contracts, and cooperative agreements.

**Principal Investigator (PI):** The primary individual responsible for the preparation, conduct, and administration of a research grant, cooperative agreement, training or public service project, contract, or other sponsored project in compliance with applicable laws and regulations and institutional policies governing the conduct of sponsored research.

**Sponsored Project:** A sponsored project is an activity that is externally funded and which includes a formal funding instrument such as a grant, contract, or a cooperative agreement between the university and the sponsor. A sponsored project involves a transaction that includes a specified statement of work and a related, reciprocal transfer of something of value.

IV. POLICY

**Internal University Proposal Deadlines**

It is American University’s policy that all proposals must be routed via Cayuse to OSP following approval by the academic or administrative units to which the PI belongs. Approval by the appropriate unit(s) leadership prior to OSP submission is a critical and required component of our university proposal submission process and is a best practice in the profession of research administration. These steps must be done before submission to the external sponsor. If a proposal is not submitted through OSP prior to submission to the sponsor, the university retains the right to withdraw the proposal or decline an award.

In order to ensure that proposals meet sponsor criteria and all other university and regulatory requirements, and to allow time for proposal submission, the following standard internal deadlines have been established for electronic and paper application submissions. *These deadlines do not include additional time required by the relevant academic or business unit(s) for their review and approval of specific proposals.*

**Five working days prior to the proposal submission deadline:** The final complete budget, additional administrative materials, and the nearly final narrative are due to OSP. This includes all required sub-recipient documentation.

**Two work days prior to submission deadline:** The final complete proposal is due at OSP, including the final proposal narrative, 48 work hours in advance of the published deadline. Final changes between the two deadlines are limited to editing of the narrative that has no impact upon the budget and other administrative documents.
These internal deadlines may be qualified by other factors, depending on the proposal and solicitation requirements:

Proposals going to foreign sponsors/entities often have documents that require institutional signature. As per the policy of the university Board of Trustees, all international proposals and agreements must be signed by the President. Therefore, additional time must be allotted for the routing and approval process.

Proposals that require any of the following: the use of additional space; anticipate facility renovation, rehabilitation, or construction; require the use of highly hazardous materials, or create an unusual safety hazard, require notice at the earliest time, but at least 30 days prior to the proposal submission deadline, must be given to the office that would approve the relevant project requirement (e.g., Facilities Management, the Office of the University Architect, Environmental Health and Safety, the head of the academic or administrative unit). This requirement is in addition to the standard internal deadlines. Documentation of these approvals by the responsible university offices is required by OSP prior to submission of the proposal to the sponsor.

Multidisciplinary proposals, or other proposals that involve university faculty or staff from two or more academic or administrative units, will require additional time for proposal development and internal routing through Cayuse.

If entities outside the university are expected to be subcontractors on a proposal where American University is the lead institution, OSP needs a complete Scope of Work (SOW), budget/budget justification, institutional letter of approval, and completed Subrecipient Commitment Form from the subcontractor prior to including the outside entity on the proposal.

V. PROCEDURES

OSP will make all reasonable efforts to assist university faculty and staff submitting sponsored project proposals if faculty, staff and the units to which they belong cannot meet these deadlines. For example, faculty or staff may not be able to meet these deadlines because they have become aware of a funding opportunity only after the university’s internal deadlines. However, OSP does not guarantee that proposals undertaken without consideration of these deadlines will be submitted in a timely manner. Similarly, OSP does not guarantee that proposals due outside of normal office hours will be submitted in a timely manner, if internal university proposal deadlines are not observed. Communication between faculty or staff member(s), their research development units and OSP is critical to the success of the proposal submission process. Proposals will be prioritized for processing in the order that they are received by OSP staff. Late-arriving proposals will not affect the review and submission of on-time proposals.

OSP reserves the right, at the discretion of the Vice Provost for Research, not to submit a proposal if there is insufficient lead time to prepare a complete and competitive proposal package that meets the sponsor’s guidelines and other relevant regulatory requirements. The university reserves the right to withdraw a proposal after submission if it is found to be not compliant with university, sponsor, regulatory or other applicable policies. Proposals sent to external sponsors by individual faculty or staff members without the required routing in Cayuse and institutional approvals will be withdrawn upon notification to the sponsor.

VI. EFFECTIVE DATE(S)

This Policy is effective May 1, 2016.
“Manufacturing” Effective Research Administration

By Joe Gesa, Electronic Research Administrator
Office of Sponsored Programs, American University

During the National Academies’ forum, Making Things: 21st Century Manufacturing and Design, Lawrence Burns, former vice president for research and development and strategic planning for General Motors Corporation, defined manufacturing as a process that converts resources into desirable customer experiences. It is through these experiences, said Burns, that customers realize value in a product. In many ways, this view is not unlike the practice of research administration as we too seek to provide positive experiences for the constituencies we serve. In his time at GM, Burns also learned that manufacturing needs to transcend mere effective operations and incorporate a strategy that provides a sustainable advantage. This too parallels research administration as we seek to provide the efficiencies necessary for our faculty to pursue their ideas. Doing so drives innovation which, to Burns, “is the only truly sustainable advantage...” So, by explicitly designing and delivering positive experiences in research administration, can expand this concept of manufacturing from IPods to R01s?

During the forum, Craig Barrett, former chairman and CEO of Intel Corporation, outlined three criteria necessary for creating sustained advantage. First, the production process must be associated with activities that add value. With support for sponsored projects coming with an ever increasing number of obligations, administrative practices add value through ensured compliance with the rules governing the use of funds for which we are the stewards. Compliance within the context of research administration means that we must, across our entire enterprise, perform the activities proposed to the sponsor and meet all of the obligations agreed upon when accepting funds.

The Council on Governmental Relations’ (COGR) text, Managing Externally Funded Programs: A Guide to Effective Management Practices, identifies the principles and practices necessary to assess the design of research support enterprises. Principle I of the guide, entitled, “Institutional Program for Effective Compliance Practices,” establishes an overarching set of practices aimed at ensuring compliance with federal, state, and local laws, regulations, and institutional policies. Because compliance is not the responsibility of any one person, the guide outlines the organizational need to document policies, practices, and controls. It highlights the need for clear delineation of roles and responsibilities, and dictates a need for educational programs that describe those roles and responsibilities for anyone who comes in contact with sponsored projects.

While this constant drive for compliance provides outstanding experiences for our sponsors and institutions, it causes a great deal of dissatisfaction in our faculty. Therefore, research administrators must balance this need for compliance with superior problem-solving and customer service skills. Employing people capable of this satisfies the second critical criterion for value-added production. That is the idea that people must bring value to processes.
Tim Brown, CEO of IDEO, an award winning global design firm, describes such people as being “T-shaped.” The two main characteristics of T-shaped people are represented by the strokes comprising the “T”. The vertical stroke measures the depth of technical skill a person brings to any given area of expertise. Fortunately, for the current wave of research administrators, more professional development resources are available to them than have been at any other time in the profession’s history for developing this depth. What is more difficult to acquire is the horizontal stroke. This stroke represents the breadth of knowledge an individual possesses. It is indicative of one’s ability to work across disciplines and around barriers to collaborate in ways that produce creative solutions to problems. This too is comprised of two components. The first is empathy and the second, enthusiasm. While both are important, the ability to feel empathetic allows us to view those with whom we work as more than just bio-sketches and budget narratives. Empathy allows us to see the world from another’s perspective and to understand that human behaviors can be viewed as strategies utilized to deal with new, confusing, complex, and occasionally contradictory processes.

The final component of effective manufacturing/research administration is the existence of a favorable regulatory environment. The processes of administrative law allow the Office of Management and Budget (OMB) to set the basic structures of award management; individual agencies to adapt that structure to fit their own needs; and programs within those agencies to produce yet another layer of regulation. With this increasing regulatory complexity, research administrators must maintain a high degree of knowledge regarding current issues affecting our profession. We must use this knowledge to engage with federal agency-decision makers and advocate for less burdensome rule-making. To do so, we must become active in professional organizations such as NCURA and seek out programs such as the Federal Demonstration Partnership and the Council on Governmental Relations. These entities offer a critical link to the legislative process by providing forums in which to collaborate with federal agencies, discuss mutual interests and disparate roles, identify problems, test new processes, and develop solutions that impact our day-to-day work.

For much of the 20th century, the United States derived its economic power and quality of life from its ability to innovate and initiate manufacturing across a wide variety of industries. The nation embodied the 1989 assertion of an MIT study that concluded, “To live well, a nation must produce well.” So it is much the same for maintaining a vibrant and healthy research enterprise. To teach well, we must research well. To research well, those of us who bear the administrative burden of that research must add value to processes through best practices, professional development, and advocacy for our profession.

References


American University – Office of Sponsored Programs – February Awards Overview

In February 2016 (FY 2016), the Office of Sponsored Programs recorded the following grants for American University researchers.

School of Communication - Center for Social Media
PI: Lindsay Grace
Title: UX Review, Mini-Game Exploration and Analysis
Sponsor: The World Bank Group
Award: $5,000.00

School of Professional and Extended Studies - Dean's Office
PI: Carola Weil
Title: NAVAIR Intercultural Training February 2016
Sponsor: U.S. Department of the Navy - Naval Air Systems Command
Award: $36,216.00
Funding Opportunities Organized by School/Department

Note: Please note that these offerings are a sampling of what is available via our search funding tools and serve as examples for you to consider. If you have not attended a “search funding tool” training session, we encourage you to do so. Performing an individualized search, tailored to your unit or specific research interests will provide the most exhaustive means of locating resources. Please contact Afelder@american.edu with any questions related to our search funding tools.

College of Arts and Sciences

Upcoming COPS Office Grant Program Solicitation for the FY 2016 COPS Hiring Program (CHP)

The Office of Community Oriented Policing Services (COPS) is pleased to announce that we will soon be accepting applications for the FY 2016 COPS Hiring Program (CHP). This year’s COPS Hiring Program has an overarching emphasis on implementing the recommendations of the President’s Task Force on 21st Century Policing. The Task Force examined how to strengthen public trust and foster strong relationships between local law enforcement and the communities that they serve, while also promoting effective crime reduction. The FY2016 COPS Hiring Program is open to all state, local, and tribal law enforcement agencies that have primary law enforcement authority. This nationwide program is designed to advance public safety through community policing by addressing specific problems, such as public trust, through the hiring of full-time sworn officer positions. Funding is provided directly to law enforcement agencies to hire new and/or rehire career law enforcement officers, and to increase their community policing capacity and crime prevention efforts. Up to $137 million is available in federal funding for this program in FY 2016, and all awards are subject to the availability of federal funds.

Deadline: To be determined
This opportunity is expected to open in late April.

Fish Publishing - Fish Publishing Short Story Contest

Writers are invited to submit entries to Fish Publishing International Short Story Contest. There is no restriction on theme or style. However, it must not have been published previously. Fish holds publishing rights for one year after publication, after which publishing rights revert to the author.

Deadline: November 30, 2016

Deutscher Academischer Austausch Dienst (DAAD) / German Academic Exchange Service - Faculty & Researcher: DAAD Short-Term Lectureships - North American Universities Host German Guest Lecturers

The program provides financial support for the process of hosting German professors and lecturers for short-term teaching engagements at universities in North America. It aims to promote activity in specialized fields, help fill curricular gaps, or act as a stimulus for teaching and research. And by facilitating teaching, German educators who spearhead developments in pedagogy or a particular discipline share their knowledge, skills, and experiences with students and faculty on campuses in the United States and Canada. The program is open to all disciplines.

Deadline: July 20, 2016
Kogod School of Business

American Society for Engineering Education - Small Business Postdoctoral Research Diversity Fellowship Program

The Small Business Postdoctoral Research Diversity Fellowship program aims to encourage creative and highly-trained recipients of doctoral degrees in NSF-supported science, technology, engineering and mathematical disciplines to engage in hands-on research projects in their areas of expertise at the kind of small innovative businesses that historically have fueled the nation’s economic regime. This fellowship program offers active Phase II Small Business Innovation Research (SBIR) participating companies the opportunity to attract top scientific and technological talent at a fraction of the usual cost. At the same time, the program recruits post-doctoral fellows from underrepresented groups to work for at least a year outside an academic setting, contributing to cutting-edge research aimed at promoting scientific excellence and strengthening our nation’s technological prowess. Each research fellow will receive a stipend of at least $75,000 plus health insurance benefits. The host company, however, will provide only $10,000 toward the stipend as well as a $2,500 administrative fee. With generous support from the National Science Foundation (NSF), the program will support 50 positions for a one-year appointment.

Deadline: Continuous
Funding Opportunities Organized by School/Department

Note: Please note that these offerings are a sampling of what is available via our search funding tools and serve as examples for you to consider. If you have not attended a "search funding tool" training session, we encourage you to do so. Performing an individualized search, tailored to your unit or specific research interests will provide the most exhaustive means of locating resources. Please contact Afelder@american.edu with any questions related to our search funding tools.

School of Communication

Carnegie Corporation of New York - Strategic Communications

Carnegie Corporations focus on strategic communications is designed to promote balanced and nuanced coverage of immigrants and immigration in the news media. Like the other facets of the Corporations strategy in this area, strategic communications necessitates an integrated strategy focused on national, regional, and local messaging. The Corporations major grantee in this area, Americas Voice Education Fund strengthens the immigrant integration reform movements messaging, coordinates and trains groups and constituencies, and responds to anti-immigrant rhetoric in the media. A campaign-style communications and rapid-response media entity, Americas Voice Education Fund takes the communications lead in comprehensive immigration reform, while coordinating communications efforts among local and national allies.

Deadline: Continuous

Center for Architecture Foundation - Douglas Haskell Award for Student Journals

Founded to encourage student journalism on architecture, planning and related subjects, and to foster regard for intelligent criticism among future professionals. The award is not intended as a prize for individuals, but is intended to support the ongoing publication of student-edited journals whose subject matter could include architectural design, history, and theory.

Deadline: May 01, 2016
Funding Opportunities Organized by School/Department

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School of International Service

William Harvey Research Institute - William Harvey International Translational Research Academy (WHRI-ACADEMY)

The WHRI-ACADEMY is a new fellowship program which will maximize the career development of the next generation of translational multidisciplinary researchers geared towards innovation across rapidly developing life... more » sciences and health care disciplines. A large number of European and international universities and research institutes and industry and private partners have already enrolled as host organizations on the basis of their excellence in post-doctoral training and development, outstanding infrastructure, high scientific prominence and high intensity of innovation activities. WHRI-ACADEMY program is open to enroll additional host organizations.

Deadline: April 24, 2016

United States Environmental Protection Agency (EPA) - Environmental Finance Center (EFC) Grant Program

The objective is to help the regulated parties in these communities find effective and innovative ways to help address the growing costs of protecting public health and the environment in a sustainable and equitable... more » manner. Under this program, EFC's will be established and supported in EPA regions across the nation to provide regulated parties with finance-related training, technical assistance, finance studies, and other analytical support (eligible services) to help them develop sustainable solutions to the critical "how-to-pay" issues associated with meeting environmental standards and goals. These regional EFCs will educate regulated parties on lowering costs, increasing investments, improving financial capacity, encouraging full cost pricing, and identifying and evaluating financing options.

Deadline: April 30, 2016

Danish Council for Independent Research (DFF) - Call for Proposals Autumn 2015 and Spring 2016: FSE - International Research Stays

In order to promote the internationalization of Danish research, FSE provides funding for research stays at foreign institutions. The research stay should be based on specific research activities and contribute to those... more » activities through strengthened international collaboration and networks or collection of data. The purpose of the stay must be to carry out research activities at a foreign institution

FSE offers funding to researchers who work within the social sciences. FSE covers the following main disciplines: economics, sociology, political science and legal theory, as well as the societal aspects of various interdisciplinary subjects (e.g. communication studies, development studies, gender studies and cultural geography).

Deadline: April 28, 2016
Note: Please note that these offerings are a sampling of what is available via our search funding tools and serve as examples for you to consider. If you have not attended a "search funding tool" training session, we encourage you to do so. Performing an individualized search, tailored to your unit or specific research interests will provide the most exhaustive means of locating resources. Please contact Afelder@american.edu with any questions related to our search funding tools.

School of Public Affairs

United States Department of Health and Human Services (HHS) - Cooperative Research Agreements Related to the World Trade Center Health Program (U01)

The purpose of this announcement is to help address the Zadroga Act research mandate, and in consultation with the World Trade Center (WTC) Scientific/Technical Advisory Committee, NIOSH is soliciting applications for... more » scientifically rigorous research to help answer critical questions about physical and mental health conditions related to the September 2001 terrorist attacks.

Deadline: April 6, 2016

United States Department of Justice (DOJ) - National Juvenile Justice Data Analysis Program

OJJDP will fund the National Juvenile Justice Data Analysis Program (NJJDAP) to establish a central, primary source to conduct statistical data analyses and disseminate juvenile justice data to the public. These... more » activities assist OJJDP in fulfilling its responsibility to provide vital juvenile justice data to the field regarding juvenile justice needs, risk behaviors, victimization, offending, and related issues. These important data inform juvenile justice policy and practice at the federal, state, and local levels.

Deadline: April 26, 2016

National Consortium for the Study of Terrorism and Responses to Terrorism (START) - START Terrorism Research Award (TRA) Program

START is dedicated to working with graduate students and junior scholars in the behavioral and social sciences who are interested in issues related to terrorism and providing them with professional development... more » opportunities. Those selected as TRA winners receive funds to dedicate towards research expenses and professional development experiences to support their work in the area of terrorism studies.

Deadline: May 1, 2016
Note: Please note that these offerings are a sampling of what is available via our search funding tools and serve as examples for you to consider. If you have not attended a “search funding tool” training session, we encourage you to do so. Performing an individualized search, tailored to your unit or specific research interests will provide the most exhaustive means of locating resources. Please contact Afelder@american.edu with any questions related to our search funding tools.

Washington College of Law

United States Agency for International Development (USAID) - U.S. Global Development Lab: Global Development Alliances (GDA) - Global Development Alliance Annual Program Statement

USAID is interested in collaborating with the private sector to increase its development impact. Each year, USAID issues a Global Development Alliance (GDA) Annual Program Statement (APS) inviting organizations to submit proposals for public-private partnerships. The most sustainable and successful GDAs are grounded at the intersection between a business's core interests and one or more of USAID's development objectives. Quality alliances increase the reach, efficiency, effectiveness and sustainable impact of USAID's development assistance, while also offering the private sector a significant value proposition. GDAs should be designed to achieve clear, measurable, and mutually understood objectives, outcomes and results in a cost-effective manner.

Deadline: April 15, 2016

Borchard Foundation Center on Law & Aging - Borchard Fellowship in Law & Aging

The fellowship affords law school graduates interested in, and perhaps already in the early stages of pursuing, an academic and/or professional career in law and aging, the opportunity to pursue their research and... more » professional interests for one year. Fellows may live and work where they choose in the United States. During the fellowship period, the Center's Co-Directors and Fellows Coordinator stand ready to assist each fellow with the further development of his/her knowledge, skills, and contacts. A legal services or other non-profit organization involved in law and aging must supervise a fellow's activities and projects.

Deadline: April 15, 2016

United States Department of Health and Human Services (HHS) - Drug-Free Communities Mentoring Program

The primary goal of the Mentoring grant is to assist newly forming coalitions in becoming eligible to apply for DFC funding on their own. It is the intent of the DFC Mentoring Program that, at the end of the Mentoring grant, each Mentee coalition will meet all of the Statutory Eligibility Requirements of the DFC Support Program and will be fully prepared to compete for the DFC grant on their own.

Deadline: April 14, 2016
Encourage those who are not on the newsletter subscription list to join!
To receive OSP Monthly, please send an email to listserv@listserv.american.edu with the following information in the body:
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Do you have an “OSP Spotlight on Research” interview suggestion?
Do you need to scheduled a “One on One” refresher session for one of our search funding tool databases? Grant Forward, Pivot COS or The Foundation Directory Online (Professional version)?

If you need assistance with any of the above items, please contact OSP’s Communications Manager, Ms. Akidah Felder via e-mail Afelder@american.edu

What to expect in next month’s OSP Monthly:
- Funding Opportunities
- Policy Updates
- Upcoming GAR Date: April 15th

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