Research Orientation:
Conducting Research at UMass Boston

Presented by the
Offices of the Vice Provost for
Research and Graduate Studies

September 21, 2016
# INTRODUCTIONS

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
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<tbody>
<tr>
<td>Matthew Meyer</td>
<td>Associate Vice Provost for Research &amp; Director of the Office of Research and Sponsored Programs (ORSP)</td>
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<tr>
<td>Shala Bonyun</td>
<td>Assistant Director, ORSP</td>
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<tr>
<td>Laura Hayman</td>
<td>Associate Vice Provost for Research and Graduate Studies &amp; Professor of Nursing</td>
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<tr>
<td>William Brah</td>
<td>Assistant Vice Provost for Research &amp; Director of the VDC</td>
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Attendees: New/Continuing Faculty and Research Staff
## INTRODUCTIONS

<table>
<thead>
<tr>
<th>Attendees</th>
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<tbody>
<tr>
<td>Name</td>
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<tr>
<td>Department</td>
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<tr>
<td>Role/Title</td>
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<tr>
<td>Time at UMass Boston</td>
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<tr>
<td>Research interests</td>
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AGENDA

1. Office of Research and Sponsored Programs: Purpose/Structure (Meyer)
2. Proposal Submission Process (Bonyun)
3. Research Development, Training & Mentoring (Hayman)
4. Supporting Innovation and Entrepreneurship (Brah)
5. Q&A – how can we help you?
AGENDA

1. Office of Research and Sponsored Programs (ORSP) - Purpose and Structure

Matthew Meyer
Associate Vice Provost for Research &
Director, Office of Research and Sponsored Programs
Purpose of the Office of Research and Sponsored Programs?

ORSP is a team of “research administrators” that encourages, supports and guides proposals submitted and ensures compliance on funded grants/contracts.
Annual UMass Boston External Funding
1989–2016

$7.5M 1989 to $63.7M in 2016
Purpose of an ORSP?

ORSP adds value to all areas of the ‘Life Cycle’ of an award

1. Make tools available to find potential funding opportunities

2. Communicate policy and procedure updates (internal and sponsors)

3. Assist with proposal development (guidance) & manage electronic submissions
Purpose of an ORSP?

ORSP adds value to all areas of the ‘Life Cycle’ of an award

4. Negotiate grant/contract awards
5. Ensure timely account set-up in our accounting system (PeopleSoft)
6. Oversee project performance and manage award modifications and issues
7. Invoicing, cash collections, financial reporting to sponsor, project close-out
Purpose of an ORSP?

ORSP adds value to all areas of the ‘Life Cycle’ of an award

8. Manage sponsor audits; Record retention

9. Institutional reporting

10. Training

11. Administrative structure reviews of units (Colleges, Departments, Centers & Institutes)

12. Research Core Facilities (ie, Genomics Core, Animal Facility)
Structure of ORSP?

ORSP has 4 areas of responsibilities:

1. Pre-Award Support Services
2. Post-Award Support Services
3. Research Compliance
4. Training
<table>
<thead>
<tr>
<th>PreAward Support Services</th>
<th>Subscriptions to: SPIN database; NIH weekly opportunities; Grants Advisor Plus. Funding E-newsletter</th>
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<tbody>
<tr>
<td>Funding opportunities</td>
<td>Hayman workshops; support for grant writing trainings; internal grants programs (Healey); project manage large submissions (Stone)</td>
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<tr>
<td>Proposal development</td>
<td>Trainings</td>
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<tr>
<td>Budget development/Indirect Costs</td>
<td>Need to be well versed on UMB and UM policies procedures and sponsor regulations</td>
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### Purpose of an ORSP?

<table>
<thead>
<tr>
<th>PostAward Support Services</th>
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<tr>
<td>Project/Account set-up in PeopleSoft</td>
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<td>Billing/Collections</td>
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<td>Financial, invention reporting to sponsor</td>
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<td>Project/account close-out; Record retention</td>
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<tr>
<td>PI/College/Dept Reporting</td>
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<td>Institutional Reporting</td>
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## Purpose of an ORSP?

**Research Compliance**

- Coordination of human and animal subject research – IRB and IACUC approval prior to conducting research

- Effort Certification (ECRT), Conflict of Interest; Export Controls; Cost Sharing; Subrecipient Monitoring
## Purpose of an ORSP?

<table>
<thead>
<tr>
<th>Training</th>
<th>IRB, COI, ECRT; overall strategic training plan being developed for Faculty and Administrators</th>
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<tr>
<td><strong>Policies and Procedures</strong></td>
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<td><strong>Funding Opportunities</strong></td>
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<tr>
<td><strong>Roles and Responsibilities</strong></td>
<td>ORSP, Department Business Managers, Deans, Assistant Deans, PIs</td>
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<tr>
<td><strong>Proposal Preparation</strong></td>
<td>Budgeting workshop</td>
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<td><strong>Award Financial Oversight</strong></td>
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## ORSP Assignments

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<tr>
<th>Unit/College</th>
<th>PreAward (Manager: Bonyun)</th>
<th>PostAward (Manager: Open)</th>
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<tr>
<td>CAPS</td>
<td>Jeff Smith</td>
<td>Ed Bulman</td>
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<tr>
<td>CEHD</td>
<td>Jeff Smith</td>
<td>Abdoulaye Kouyate</td>
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<tr>
<td>CLA</td>
<td>Michael Gaughan/Emeka Madubuike</td>
<td>Abdoulaye Kouyate</td>
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<tr>
<td>CM</td>
<td>Michael Gaughan</td>
<td>Ed Bulman</td>
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<tr>
<td>CNHS</td>
<td>Katie McGeary/Emeka Madubuike</td>
<td>Ed Bulman</td>
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<tr>
<td>CSM/SFE</td>
<td>Shala Bonyun/Alan Abend</td>
<td>Ed Bulman</td>
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<tr>
<td>CPCS</td>
<td>Michael Gaughan</td>
<td>Abdoulaye Kouyate</td>
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<tr>
<td>MGS</td>
<td>Michael Gaughan</td>
<td>Abdoulaye Kouyate</td>
</tr>
<tr>
<td>Other Institutes &amp; Centers; VPASS</td>
<td>Jeff Smith/Emeka Madubuike</td>
<td>Abdoulaye Kouyate</td>
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None of this is in isolation – Research Administration needs a talented team of:

<table>
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<tr>
<th>Role</th>
<th>Responsibilities</th>
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<tr>
<td>Investigators</td>
<td>Writing applications; developing ideas; networking; performing research; responsible for research and conduct (scientific; financial; compliance)</td>
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<tr>
<td>Chairs/Deans</td>
<td>Identifying administrative support; creating research environment</td>
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<tr>
<td>Department Administrators</td>
<td>Assist with proposal development; knowing internal rules and processes; collaborate with ORSP contacts</td>
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<tr>
<td>ORSP Pre</td>
<td>Assist with proposal development; knowing internal and external rules and processes; collaborate with ORSP contacts</td>
</tr>
<tr>
<td>ORSP Post</td>
<td>Ensure financial oversight; Collaborate with DAs regarding accounts setups, transactions, billing, reporting, cash collections; experts on internal and external rules and processes;</td>
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<tr>
<td>Compliance and Training</td>
<td>Ensure sponsor rules and regulations; develop/coordinate training sessions to build knowledge base</td>
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</table>
2. Proposal Submission Process

Shala Bonyun
Assistant Director,
Office of Research and Sponsored Programs
Proposal Submission Process

1. Interpreting Sponsor guidelines
2. Understanding University Policies and Rules
3. Assembling a Complete and Responsive Application
4. Routing and Submitting your Application
Proposal Submission Process

1. Interpreting Sponsor Guidelines – Decoding the Message
Proposal Submission Process
Interpreting Sponsor guidelines

- Understanding the Request for Applications (RFA), Announcement or Solicitation that applies
  - required registrations, deadlines and submission method
- Thorough review of guidelines, terms, conditions and requirements
  - eligibility concerns, applicable regulations, budget limits
- Recognizing and noting the required institutional elements of your proposals
  - certifications, signoffs and letters
- Identifying format guidance, content limitations and restrictions
  - page limits, figures, fonts and margins
Proposal Submission Process
Interpreting Sponsor guidelines

What should you do?

- Forward your RFP, announcement or solicitation to your ORSP contact person for institutional review and advice
- Highlight any questions or concerns
- Make special note of any terms or conditions that impact your proposal
- Identify support or resources you will need to secure for proposal elements (i.e. dept. letters, documentation, certifications)
- Schedule a meeting to discuss a game plan
Proposal Submission Process

2. University Policies and Guidelines – House rules apply
Proposal Submission Process
University Policies and Guidelines

- Project team
  - PI participation agreement and IP policy
  - PI, Co-PI’s Memorandum of Understanding (MOU)
  - Faculty efforts, buyouts and additional compensation
- Budget Development
  - Hiring at UMB: Graduate students, professional staff
  - Equipment policy
  - Federally negotiated indirect rates and fringe rates
  - Allowable cost
Recognizing appropriate and applicable campus and system policies governing project activities
- Travel
- Procurement
- Contracts
- Research Compliance

Institutional Resources, Facilities and Equipment
- Will I access them
- Can I leverage them
- Do I commit them
Proposal Submission Process
University Policies and Guidelines

What should you do?

- Contact the appropriate departments and offices for current policies and procedures and advice for your activities
- Confirm with the responsible offices and departments that the information you have presented in your application is accurate and described correctly
- Touch base with your department heads and administrators to make sure you are consistent with your department or center’s policy and practices
3. Assembling a Complete and Responsive Application – Getting down to business
Proposal Submission Process
Assembling your Application

- Narrative Elements
  - Project summaries and abstracts
  - Specific Aims
  - Project Narratives and Statements of Work
- Sponsor Required Forms and Certifications (making sure they are accurate, complete and signed appropriately)
- Research Team Information
  - CV’s, Biosketches, Resumes
  - Lists of Current and Pending Support
  - Performance Sites Information
Proposal Submission Process
Assembling your Application

- Budgets and Budget Justifications
  - Detailed budget in sponsor approved formats
  - Budget justification narratives
  - Attached exhibits and documentation of costs (i.e. F&A agreements, vendor quotes)

- Subcontractor, Consultant and Collaborator documentation
  - Sub recipient administrative concurrence and endorsement
  - Securing necessary documentation from Subrecipients (budgets, justifications, statement of intent, scopes of work, financial conflict of interest disclosures)
Proposal Submission Process
Assembling your Application

- Required commitments
  - Cost share
  - Letters of support
  - Institutional commitments
  - External resources (space, facilities, equipment)

- Supplementary elements
  - Facilities and Resources
  - Appendices and Permits and Plans
  - Special requirements

- Optional and conditional documentation
  - IRB and IACUC
Proposal Submission Process
Assembling your Application

- Develop a checklist so you don’t miss anything
- Create deadlines for materials you need from others including dept chairs and collaborators
- Distribute the required materials and forms along with your requests
- Circulate drafts for advise and answer questions along the way
Proposal Submission Process

4. Routing and Submitting your Proposal – signed, sealed delivered

Two processes, one goal: Internal and External Submission Process
Proposal Submission Process
Routing and Submitting your Proposal

- Secure University Concurrence and Approval
  - PI’s and Co-PI’s, department heads, Deans and Directors and University/ORSP

- Route your Application
  - Circulate your application with all necessary materials

- Application Review
  - ORSP review, feedback and critical edits, deliver the final package

- Proposal submission
  - Confirming: who, what, where, when and how
Proposal Submission Process
Routing and Submitting your Proposal

- Develop a routing timeline
  - Applications are due to ORSP **5 Business days before due date**. This allows for planning, thorough review and critical edits!
  - Identify signatories and confirm their availability to sign off on your application with time to spare

- Circulating Required Forms and Attachments
  - Proposal Routing Form (PRF)
  - UMB Fiscal Year Budget Workbook and Justification Narrative
  - Financial Conflict of Interest Disclosure (PHS and non-PHS)
  - Project Narrative or Summary
  - Documentation
Proposal Submission Process
Routing and Submitting your Proposal

- **Review and Finalize**
  - ORSP reviews and checks application and all components for compliance with university, state, federal and most especially sponsor regulations and guidelines.
  - Suggests important edits and revisions and cross checks information throughout the application package for accuracy and consistency.
  - Confirms application is complete and finalized.
  - The final *once-over* and *hand-off*.

- **“Pressing the Button”**
  - ORSP submits or assists in coordinating submission to sponsor.
  - Confirm required submission process details including electronic modules, email mailboxes and addressees, courier delivery service.
  - Due dates and time and final package details (file, media types and number copies).
  - Confirms delivery, acceptance of applications and proposals to sponsors (validations, status checks and time stamps).
Proposal Submission Process

Resources

- Department Administrator/Assistant Dean
- Your ORSP contact person!
  - They can help you make sense of difficult rules and regulation, federal and state guidelines
  - Highlight important concerns and uncover the facts
  - Point you in the right direction on campus (who does what)
  - Navigating scary submission modules
  - Advise you on coordinating and developing a plan to assemble your application
  - Be a second set of eyes along the way
AGENDA

3. Research Development, Training & Mentoring

Laura L. Hayman
Associate Vice Provost for Research and Graduate Studies; Professor of Nursing

Office of the Vice Provost for Research and Graduate Studies
Research Development and Training Activities

Goals and Background:

- Provide “developmentally” appropriate and timely research development and training activities for faculty, students, fellows and research staff
- Expand the reach, capacity for development/continuing development of investigators

Academic Council Meeting /Meeting with Deans

- Plans for Follow-up
Research Workshops:

- **Finding Funding Opportunities**: [www.umb.edu/training](http://www.umb.edu/training)
  September 22, October 20, November 17, December 12 (11–12/ORSP conference Room)

- **National Science Foundation Graduate Research Fellowship Program (NSFGRFP)**: Monday, September 26, 2–4 PM, Quinn 1 conference room (Register: graduate.studies@umb.edu and laura.hayman@umb.edu)

- **Individual National Research Service Awards (NIH–NRSA) Pre-doctoral Workshop (F31)**: Wednesday, November 9, 1–3 PM, Quinn 1 conference room

- **National Institutes of Health (NIH) Workshop**: November 21, 1–3:30, Quinn 1 conference Room

- **National Science Foundation (NSF) Workshop**: December 8, 1–3 PM, Quinn 1 conference Room
Research Development and Training Activities: Fall 2016

- Six-week Series on Developing and Refining Grant Writing Skills & Competencies
  - Six consecutive Tuesdays, beginning September 20, 10–12 noon, Quinn 1 conference room
  - Target audience: New faculty/Assistant Professors
Two Six-week Series Grant Writing Sessions:

- Basic Grant Writing Series:
  Target Audience: New Investigators/Assistant Professors
- Advanced Grant Writing Series:
  Target Audience “Seasoned” Investigators

“Internal” Funding Sources/Mechanisms: UMass Boston; Clinical & Translational Science Awards (UMass–CTSA); other

National Science Foundation (NSF): CAREER Awards

Grant Writing for Graduate Students (in collaboration with the Graduate Student Assembly [GSA])

Individual Sessions Focused on External Funding Agencies: TBA
AGENDA

4. Supporting Innovation and Entrepreneurship: UMass Boston Venture Development Center

William Brah
Assistant Vice Provost for Research &
Director of the Venture Development Center
VDC Helps You Transition from Research to Market

- We protect and commercialize intellectual property
  Invention disclosures, copyright, material transfer, and confidential disclosure agreements
- We help find proof of concept funding
  President's Office Tech Development Funds allow you to make the technology attractive
- We advise you how to work with industry
  Corporate sponsored research, Small Business Innovation Research grants
- We incubate student and faculty companies from across Boston
  113 entrepreneurs, 27 companies, in biotech, digital health, big data, robotics, education, finance
- We lend entrepreneurs to lecture and mentor student classroom projects
Third Floor, Wheatley Hall
Susan Hanlon Daudelin
Director of Industry Relations
susan.daudelin@umb.edu
617.287.5710
5. Questions and Answers

- How can we help?
- What are the services you need to get started?
- Who do you contact?
Contacts

https://www.umb.edu/research
https://www.umb.edu/orsp

- Matthew Meyer - Associate Vice Provost for Research and Director ORSP:
  ORSP@umb.edu
  matthew.meyer@umb.edu
- Shala Bonyun - Assistant Director of ORSP
  shala.bonyun@umb.edu
- Laura Hayman - Associate Vice Provost for Research and Graduate Studies
  laura.hayman@umb.edu
- Susan Daudelin - Director of Industry Relations
  susan.daudelin@umb.edu
# Training Schedule – Fall 2016

Trainings, workshops and seminars are offered by the Office of Research & Sponsored Programs (ORSP) and the Office of the Vice Provost for Research and Graduate Studies. For a complete listing, descriptions and to self-register, go to the [UMass Boston training portal](#).

<table>
<thead>
<tr>
<th>Course Type</th>
<th>Course Name</th>
<th>Course Date</th>
<th>Course Time</th>
<th>Course Location</th>
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<tbody>
<tr>
<td>September</td>
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<tr>
<td>Office of Research &amp; Sponsored Programs</td>
<td>Finding Funding Opportunities</td>
<td>9/22/2016</td>
<td>11:00-12:00 PM</td>
<td>Quinn 2nd floor, ORSP</td>
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<td>Conference Room</td>
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<tr>
<td>Office of Research &amp; Sponsored Programs</td>
<td>Effort Reporting and the ECRT System</td>
<td>10/19/2016</td>
<td>11:00-12:00 PM</td>
<td>Healey Library, UL #3</td>
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<td>Quinn 2nd floor, ORSP</td>
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<td>Finding Funding Opportunities</td>
<td>10/20/2016</td>
<td>11:00-12:00 PM</td>
<td>Conference Room</td>
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<tr>
<td>October</td>
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<tr>
<td>Office of Research &amp; Sponsored Programs</td>
<td>Individual National Research Service Awards (NIH-NRSA): Pre-doctoral Research Workshop (F31)</td>
<td>11/9/2016</td>
<td>1:00-3:30 PM</td>
<td>Quinn 1st floor, VPR</td>
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<td>Conference Room</td>
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<tr>
<td>Office of Research &amp; Sponsored Programs</td>
<td>Finding Funding Opportunities</td>
<td>11/17/2016</td>
<td>11:00-12:00 PM</td>
<td>Quinn 2nd floor, ORSP</td>
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<td>Conference Room</td>
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<tr>
<td>Office of the Vice Provost for Research and Graduate Studies</td>
<td>National Institutes of Health (NIH) Grant Workshop</td>
<td>11/21/2016</td>
<td>1:00-3:30 PM</td>
<td>Quinn 1st floor, VPR</td>
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<td>December</td>
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<tr>
<td>Office of the Vice Provost for Research and Graduate Studies</td>
<td>National Science Foundation (NSF) Grant Workshop</td>
<td>12/8/2016</td>
<td>1:00-3:30 PM</td>
<td>Quinn 1st floor, VPR</td>
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<td>Office of Research &amp; Sponsored Programs</td>
<td>Finding Funding Opportunities</td>
<td>12/15/2016</td>
<td>11:00-12:00 PM</td>
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