

# June 21, 2023

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## Department of Pediatrics Grants and Contracts Post Award

# Post Award Training Topics

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- DOP Org Chart
- What is Post Award?
- Award Documentation
- Award Set Up and Spending
- Post Award Management Activities
  - Collaborating Partners



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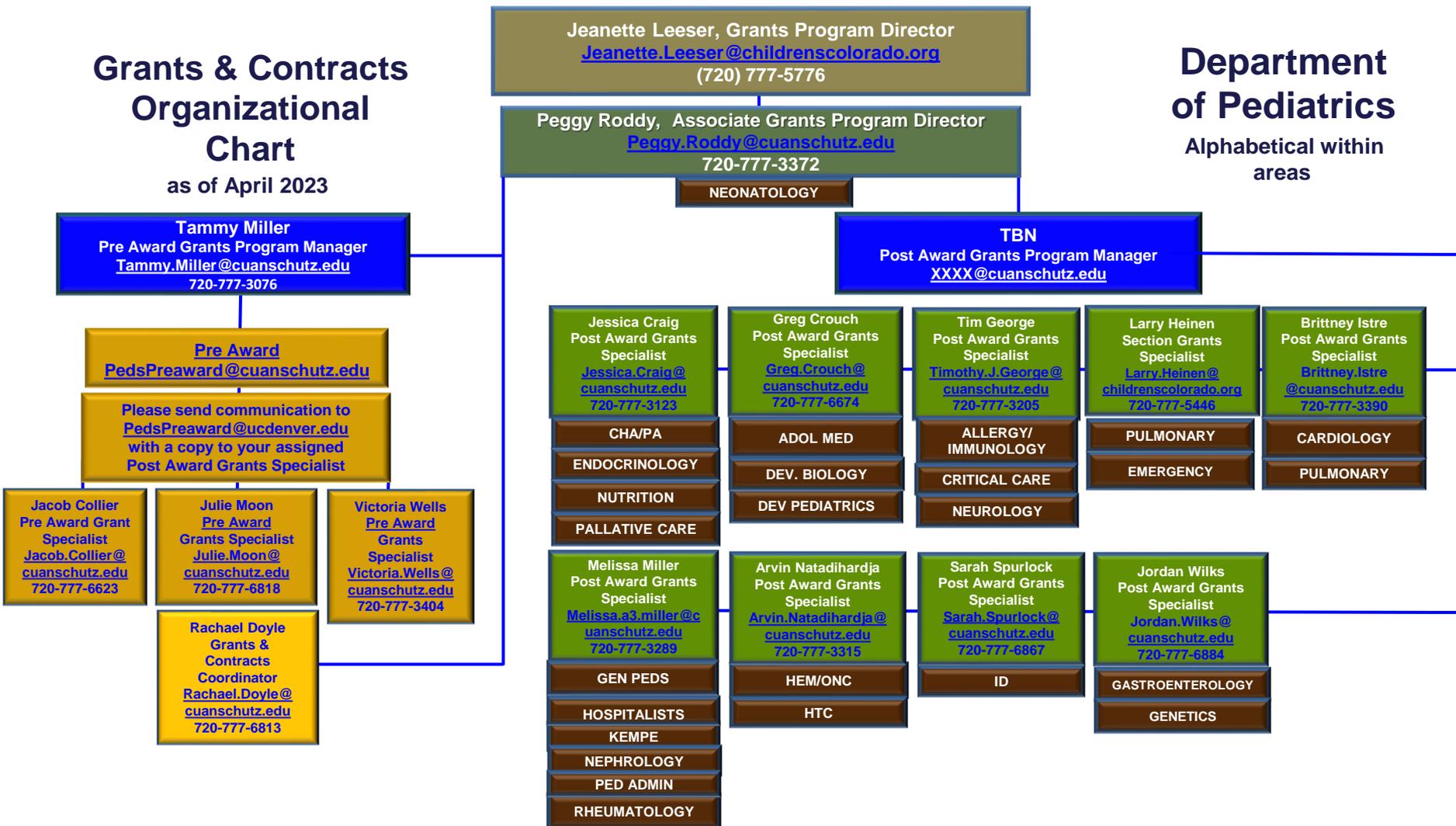
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# Grants & Contracts Organizational Chart

as of April 2023

# Department of Pediatrics

Alphabetical within  
areas



# What is Post Award?

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- The term used for all grants management activities after an award is received
- Includes implementing the grant, monitoring expenses, progress reporting, billing, and completing the closeout process
- Office of Grants and Contracts (Central Office) and the DOP Grants and Contracts work together to accomplish setup, invoicing, reporting and close out of all University awards
- The DOP G&C also work with CHCO to coordinate CHCO Work Orders, Subawards (exceptions)

# What is an award document?

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- Documentation from the sponsor that outlines the financial contribution to support a specific project
- Includes terms and conditions, project dates, approved budget, restrictions, reporting, invoicing and prior approval requirements
- The award document will be signed by the University's Authorized Official (AO)
- A PI cannot sign on behalf of the University
- NIH, HRSA, DOD award documents are commonly called a Notice of Grant Award (NGA or NOGA)
- State and Foundations typically use the term award notice

# Award Document Questions

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- Where do Sponsors send the award documents and where should they go?
  - The award document can be sent to the PI, Peds Pre Award, Peds Post Award or OGC Contracts
  - All award documents will be sent to OGC Contracts for review
  - The exception to this process are NIH awards that are received by OGC and do not require review



# Award Document Questions

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- Once the award document is in OGC Contracts what happens?
  - OGC Contracts will review for any potential language issues and negotiate acceptable terms with the sponsor (if needed)
  - The award document will be partially executed by OGC and returned to the Sponsor for full execution by the DOP Post Award Grant Specialist



# Award Document Questions

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- When the award document is fully executed what happens?
  - The sponsor will return the fully executed award document to the Post Award Grant Specialist
  - DOP Post Award Grant Specialist is responsible for making sure OGC receives the fully executed award
  - OGC will establish a speedtype

# Sources of Funding

Last updated: 01/30/2023



Office of Grants and Contracts

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## RESPONSIBLE OFFICES & CONTRACTING MECHANISMS

Clinical Research Admin Office (CRAO)	Child Health Research Enterprise (CHRE)	Office of Grants & Contracts (OGC)
UNIVERSITY OF COLORADO	CHILDREN'S HOSPITAL OF COLORADO	UNIVERSITY OF COLORADO

SPONSOR TYPE
Federal
State
Foundation
Non-Profit
Industry
Questions?

**Not involved for these sponsor types**

Prime Grant is issued by external sponsor to CU



### Work Order Under CHCO UCD MSA:

Receives payment from CU grant in the form of a Work Order associated with the MSA\*

Direct Recipient of the funding and party to the incoming funding agreement with the external Sponsor

*\*University School/Department is responsible for creating work order*

### Prime Grant under an MSA Exception\*

*\*exceptions to the MSA are rare and dictated by the requirements of the prime sponsor- prior approval from CU required*

CHCO is the Direct Recipient of the funding and party to the incoming funding agreement with the external Sponsor; initiates Subaward for funding for faculty & staff time/effort\*\* to CU

Receives payment from CHCO as a Subrecipient of Subaward

*\*\*includes time and effort for research, admin, and support time*

### Tri-Party Agreement

CU partners with CHCO as a co-party to a Tri Party Agreement between CHCO, CU, and the External Sponsor



CHCO partners with CU as a co-party to a Tri Party Agreement between CHCO, CU, and the External Sponsor; the agreement is routed to CHCO; CHCO is considered the Direct Recipient of the funding

**Not involved for Tri-Party Agreements**

### Remuneration Agreement

CHCO initiates Remuneration Agreement to CU to cover funding for study staff and other non-faculty time/effort expenses

CU is party to Remuneration Agreement with CHCO

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Child Health Research Contracting  
ResearchAgreements@childrenscolorado.org

Office of Grants & Contracts  
ogc.contracts@ucdenver.edu

# Let's Start Spending

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- DOP Post Award Grant Specialist will review:
  - Award
  - Budget and budget justification
  - Establish financial projection report
  - Contact PI for a meeting to discuss the award and any changes that have taken place since the proposal submission



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# Let's Start Spending

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- Prepare and issue subawards to outside institutions
- Establish Scope of Work for Consultants
- Issue CHCO Work Order (services)
- Apply PI and other University personnel effort
- Work with section personnel to facilitate purchases of lab supplies, services, animals, equipment and travel



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# Post Award Management Activities

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- Collaborating Partners
  - Principal Investigator (PI)
  - Office of Grants and Contracts (OGC)
  - Department of Pediatrics Business Managers/Section Head Leadership
  - Children's Hospital Colorado (CHCO)
  - Extramural Sponsors
  - Internal Sponsors

# Post Award Management Activities

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- Principal Investigator (PI)
  - Regularly meet with the PI
  - Discuss financial health of all projects
  - Review expenditures for allowability
  - Provide projections of expenditures inclusive of salary, fringe, supplies, animals, travel, subawards, CHCO work orders, equipment
  - Discuss enrollment activity/billing (if applicable)

# Post Award Management Activities

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- Inform PI of upcoming sponsor reporting deadlines
- Assist PI with preparation and submission of annual financial reporting (RPPR)
- Submit to Sponsor reporting/budget requirements for future funding periods
- No Cost Extension (NCE) requests
- Budget Revision
- Prior Approval
- Carryforward
- Close out

# Post Award Management Activities

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- Office of Grants and Contracts (OGC)
  - Meet monthly with assigned Post Award contact
  - Confirm final invoicing
  - Provide approval for final reporting
  - Provide information for revenue processing
  - Provide prior approval documentation for submission to Sponsor
  - Provide information for close out

# Post Award Management Activities

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- Department of Pediatrics Business Managers/Section Head Leadership
  - Provide updates on relevant funding changes
  - Assist with establishing fund 35 speedtypes (CHCO R and Cost Centers)
  - Provide assistance with general questions
  - Provide quarterly proposal and award projection reports

# Post Award Management Activities

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- Children's Hospital Colorado (CHCO)
  - Communicate with Clinical Research Coordinators (CRC)
  - Work with Post Award Accounting (PAA)
  - Attend Quarterly Financial Review (QFR) meetings
  - Process Work Order/Subaward amendments
  - Work with the RI for source funding documentation (CHCO R and Cost Center)

# Post Award Management Activities

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- External Sponsor
  - Contact with questions/corrections on award
  - Pending future funding
  - Carryforward
  - Reporting
  - Payment

# Post Award Management Activities

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- Internal Sponsors (Fund 35)
  - School of Medicine (SOM)
    - *AEF - Bridge, SIRC*
  - DOP
    - *DEF - Research Incentive, K to R Transition*
  - CHCO/RI
    - *RSA, Bridge, Pilot*

# Other Post Award Management Activities

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- General Post Award Activities
  - Prepare and submit Funding Distributions/Payroll Expense Transfers/Journal Entries
  - Prepare and submit requisitions/invoices in Marketplace (subcontracts)
  - Collaborate with DOP Pre Award
  - Review and provide approval for proposal submissions
  - Collaborate with DOP HR for changes in effort/correction of pay/back pay/termination/new hires/reduction in FTE
  - Monitor project end dates
  - Support ePERs certification



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# Resources

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- OGC Website

<https://research.cuanschutz.edu/ogc/home/lifecycle#phase=/post-award-management&subphase=/post-award>

<https://research.cuanschutz.edu/ogc/home/a-to-z-resources>

<https://research.cuanschutz.edu/ogc/home/ogc-teams/frequently-asked-questions>

- NIH Policy Statement

<https://grants.nih.gov/policy/nihgps/index.htm>

# Resources

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- Department of Defense (DoD)  
<https://www.grants.gov/learn-grants/grant-making-agencies/department-of-defense.html>
- National Science Foundation (NSF)  
<https://new.nsf.gov/policies/pappg>

# Common Acronyms

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- AO – Authorized Official
- CDA – Career Development Awards
- COI - Conflict of Interest
- Co-I - Co-Investigator
- DUNS – Data Universal Numbering System
- EA – Expanded Authorities
- ERA – NIH Electronic Research Administration
- F&A – Facilities & Administrative Cost/Rate
- FOA – Funding Opportunity Announcement
- FE – Fully Executed
- FSR – Financial Status Report
- FTE – Full Time Equivalent
- FY – Fiscal Year
- GMO – Grants Management Officer (NIH)
- GMS – Grants Management Specialist (NIH)
- HHS – Department of Health and Human Services
- IACUC – Institutional Animal Care and Use Committee
- IC – NIH Institute and Center
- IDC – Indirect Cost
- IND – Investigational New Drug Application
- IRB – Institutional Review Board
- JIT – Just in Time
- LOI – Letter of Intent
- LRP – Loan Repayment Program
- MOU – Memorandum of Understanding
- MPI – Multi-Principal Investigator
- MSTP – Medical Scientist Training Program

# Common Acronyms

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- MTA – Material Transfer Agreement
- MTDC – Modified Total Direct Cost
- MYF – Multi Year Funding
- NCE – No Cost Extension
- NOA – Notice of Award
- NOFO – Notice of Funding Opportunity
- NOSI – Notice of Special Interest
- NOT – Notice
- OGC – Office of Grants and Contracts
- OLAW – Office of Laboratory Animal Welfare
- OMB – Office of Management and Budget
- OPERA – Office of Policy for Extramural Research Administration
- Overhead – Facilities & Administrative Costs/Indirect
- PE – Partially Executed
- PI – Principal Investigator
- PMS – Payment Management System
- PO – Program Official
- RFA – Request for Application
- RFP – Request for Proposals
- RPG – Research Project Grant (R01)
- RPPR – Research Performance Progress Report
- SEIRPAGS – Southeast Idaho Regional Preaward Grant Specialist
- SF 424 – Standard Form 424 (Research and Related)
- SNAP – Streamlined Noncompeting Award Process
- SO – Signing Official
- SOW – Statement of Work
- STXRPAGS – South Texas Regional Preaward Grant Specialist
- TDC – Total Direct Cost

# Sponsor Acronyms

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- AHRQ – Agency for Health Care Research and Quality
- CDPHE – Colorado Department of Public Health and Environment
- DHHS – Department of Health and Human Services
- DOD – Department of Defense
- DOE – Department of Energy
- DOJ – Department of Justice
- HRSA - Human Resources Services Administration
- FDA – Food and Drug Administration
- NSF – National Science Foundation
- PCORI – Patient Center Outcomes Research Institute
- SAMHSA – Substance Abuse and Mental Health Services Administration
- USAID – U.S. Agency for International Development
- USDA – U.S. Department of Agriculture
  - NIFA – National Institute of Food and Agriculture
  - ARS – Agricultural Research Service
- VA – Veterans Administration
- WHO – World Health Organization

# Sponsor Acronyms

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- NIH – National Institute of Health
- NCI – National Cancer Institute
- NEI – National Eye Institute
- NHGRI – National Human Genome Research Institute
- NHLBI – National Heart, Lung and Blood Institute
- NIA – National Institute on Aging
- NIAAA – National Institute on Alcohol Abuse and Alcoholism
- NIAID – National Institute of Allergy and Infectious Diseases
- NIAMS – National Institute of Arthritis and Musculoskeletal and Skin Diseases
- NIBIB – National Institute of Biomedical Imaging and Bioengineering
- NICHD – Eunice Kennedy Shriver National Institute of Child Health and Human Development
- NIDA – National Institute on Drug Abuse
- NIDCD – National Institute on Deafness and Other Communication Disorders
- NIDCR – National Institute on Dental and Craniofacial Research
- NIDDK – National Institute of Diabetes and Digestive and Kidney Diseases
- NIEHS – National Institute of Environmental Health Services
- NIGMS – National Institute of General Medical Services
- NIMH - National Institute of Mental Health
- NIMHD - National Institute on Minority Health and Health Disparities
- NINDS – National Institute on Neurological Disorders and Stroke
- NINR – National Institute of Nursing Research

# Q&A

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- Q: I am a new investigator to the Department of Pediatrics and want to find out who my assigned Post Award Grant Specialist is for my section?
  - A: Always refer to the DOP organizational chart on the Peds website, reach out to your section business manager, or send an email to [Jeanette.Leeser@childrenscolorado.org](mailto:Jeanette.Leeser@childrenscolorado.org)
- Q: What is the best way to manage my budget when there are University and CHCO service expenses (personnel, lab, etc.)?
  - A: Best practice is to work with your assigned DOP Post Award Grant Specialist who can provide a financial projection report that incorporates all expenses associated with the University and CHCO

# Q&A

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- Q: Am I allowed to reduce my effort on my federal award?
  - A: It depends. Most federal sponsors (NIH/NSF) require prior approval for any reduction in effort of 25% or more from the approved level of effort at the time of award.
- Q: Are expenses allowed prior to the start date of the grant?
  - A: It depends on the sponsor and the award.

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# Questions ?

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