Department of Pediatrics
Grants and Contracts
Post Award
Post Award Training Topics

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

- 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?

• 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

- 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

• 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

• 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**

## Responsible Offices & Contracting Mechanisms

<table>
<thead>
<tr>
<th>SPONSOR TYPE</th>
<th>UNIVERSITY OF COLORADO</th>
<th>CHILDREN’S HOSPITAL OF COLORADO</th>
<th>UNIVERSITY OF COLORADO</th>
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<tbody>
<tr>
<td>Clinical Research Admin Office (CRAO)</td>
<td>Child Health Research Enterprise (CHRE)</td>
<td>Office of Grants &amp; Contracts (OGC)</td>
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### Prime Grant
- Issued by external sponsor to CU
- Receives payment from CU grant in the form of a Work Order associated with the MSA*
- *University School/Department is responsible for creating work order

### Work Order Under CHCO UCD MSA
- Direct Recipient of the funding and party to the incoming funding agreement with the external Sponsor

### Prime Grant under an MSA Exception*
- 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

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

### Tri-Party Agreement
- CU partners with CHCO 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

### 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

### Not involved for Tri-Party Agreements
- Not involved for these sponsor types

### Questions?
- Clinical Research Admin Office: crao_contracts@ucdenver.edu
- Child Health Research Contracting: ResearchAgreements@childrenscolorado.org
- Office of Grants & Contracts: ogc_contracts@ucdenver.edu
Let’s Start Spending

• 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
Let’s Start Spending

- 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
Post Award Management Activities

- 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

• 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

- 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

• 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

• 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

- 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

• External Sponsor
  – Contact with questions/corrections on award
  – Pending future funding
  – Carryforward
  – Reporting
  – Payment
Post Award Management Activities

• 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

• 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
Resources

• 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-answered-questions

• NIH Policy Statement
Resources

- 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

- 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

- **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

- 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

- 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

• 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

• 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

• 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 ?