



Externally Sponsored Projects

Useful and Important Information for CHSS
Faculty



College of Humanities
and Social Sciences

Roles and Responsibilities

- Many offices and personnel are involved in sponsored research
 - Principal Investigator(s)
 - Department Administrators and Office Managers
 - Dean's Office
 - Central Offices [Faculty Research Resources](#) – Mason website that provides links to a variety of resources and offices supporting research
 - Research Integrity and Assurance
 - Office of Sponsored Programs
 - Office of Research Computing
 - Qualtrics Survey Tool
 - Environmental Health and Safety
 - Office of Technology Transfer
 - Office of Entrepreneurship and Innovation
 - Mason Enterprise Centers
 - Libraries

Dean's Office Research Support

Associate Dean for
Research
Michele Schwietz

Associate Director,
Research
Development
Brooke Gowl

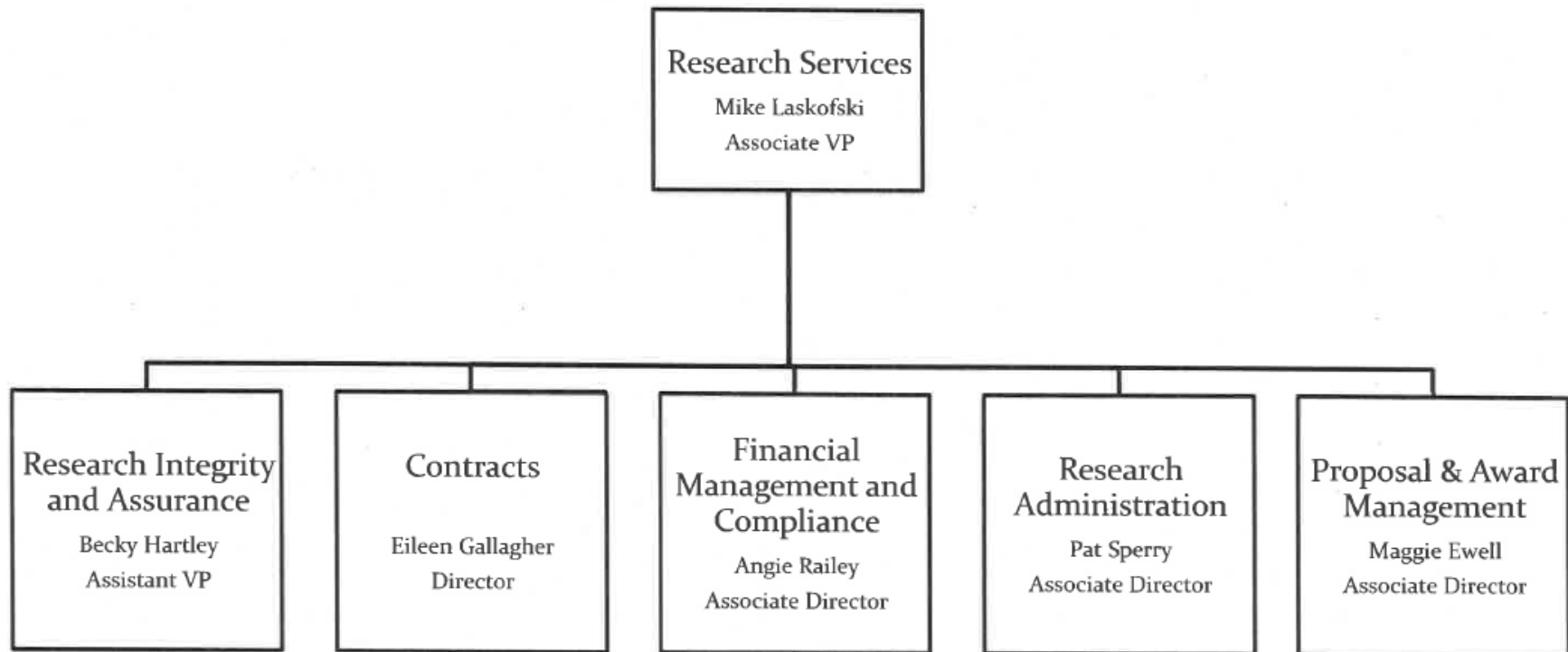
[CHSS Research Website](#)

Finance and HR Office

Director, Finance and
Research Operations
Janice Cohen

Associate Director,
Post Award
Services
Olga Shchepina

Grants Analyst
(vacant)



Animal Care and Use
 Conflict of Interest (COI)
 Export Control and Secure
 Research
 Human Subjects (IRB)
 Misconduct in Research and
 Scholarship
 Responsible Conduct of
 Research (RCR)

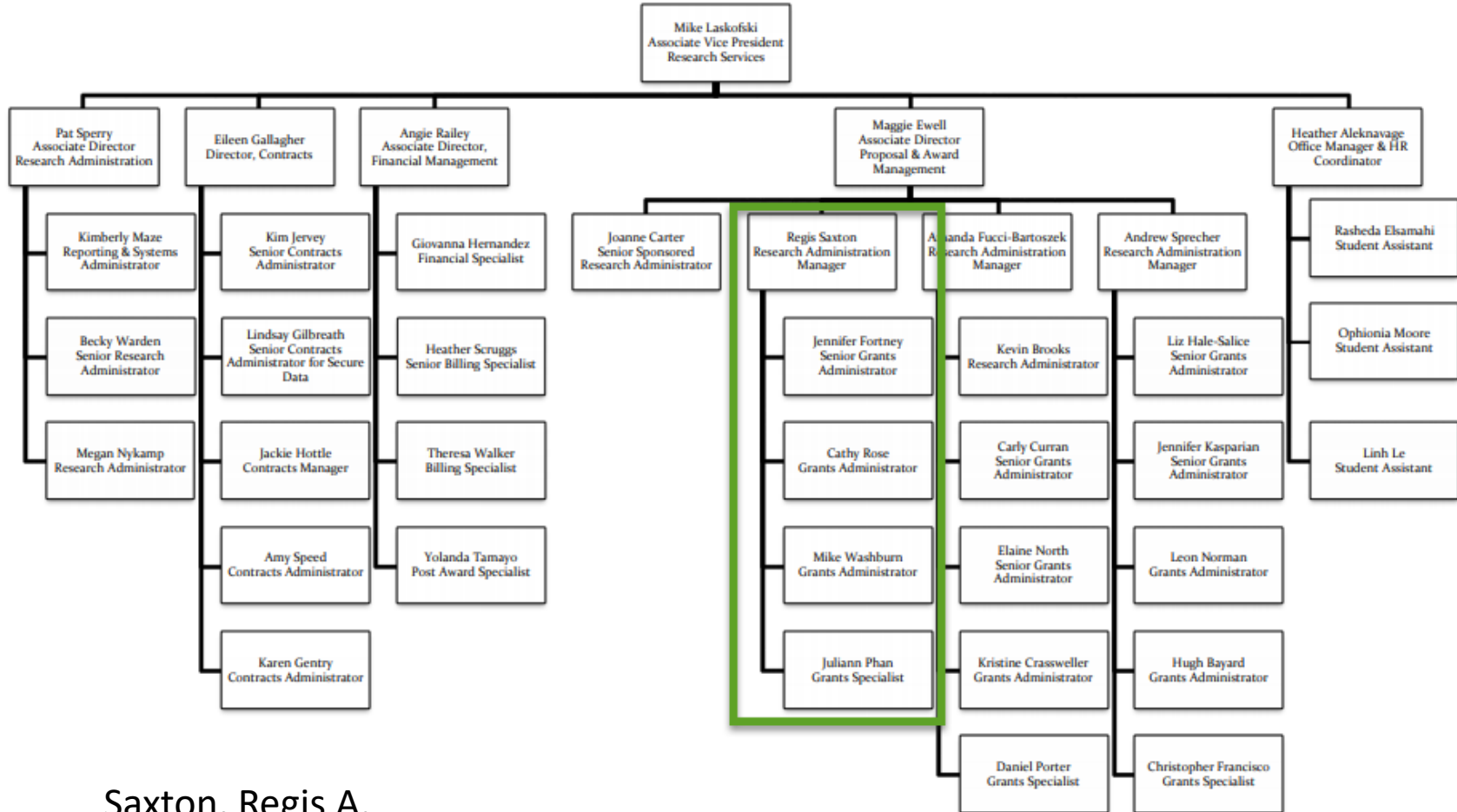
Award Negotiation
 NDAs, MTAs and other
 unfunded agreements
 Subcontract Negotiation

Cost Compliance
 Audit Support
 Subrecipient Monitoring
 Financial Reporting
 Invoicing
 Cash Management
 Payroll Certification
 Cost Share Tracking
 Award Closeout

Training
 Local Unit Outreach
 Post Award Support
 Systems Support
 Research Reporting

Proposal Submission
 Award Review
 Award Setup
 Award Modifications
 Cost Monitoring
 Academic Unit Support

Office of Sponsored Programs



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 Research Administration Manager
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GREEN
 CHHS, CHSS, CVPA,
 ASLS, ULife, Exec.,
 Finance & Acad.
 Admins

GOLD
 COS

BLUE
 VSE, Schar
 School, CEHD,
 S-BUS, S-CAR

Life Cycle of a Sponsored Project



Funding Opportunities

- CHSS Funding Sources website: <https://chss.gmu.edu/research/funding-sources>
- RDIA Research Development Funding Opportunities website: <https://oriagmu2.wpengine.com/topics-of-interest/research-development/funding-opportunities/>
- Contact the CHSS Associate Dean for Research or the Associate Director of Research Development

Research Development and Proposal Submission

- PI: Submits a Request for Proposal Assignment
<https://ospproposal.gmu.edu/Default.aspx>
 - Prepare technical proposal, budget, budget justification and other documents required for submission
 - Consult department administrator/office manager for specific budget questions
 - Work with department chair/Dean's office regarding cost share/match
 - Submit Conflict of Interest Disclosure
 - Follow University deadlines for document submission (4 days prior to sponsor deadline)
- OSP: Assigns a Grants Administrator
 - Provides assistance in proposal preparation
 - Ensures proposal compliance with sponsor and Mason policies
 - Institutional certifications/compliance and sponsor specific forms
 - Proposal submission and routing for formal approvals

Research Development and Proposal Submission

- Dean's Office (Research Development and Research Operations - Finance)
 - Research Development and Consultation
 - Identify funding opportunities and strategies, connecting researchers with mutual interests
 - Coordinate and encourage networking, communication and sponsor engagement
 - Provide proposal development resources
 - Proposal Development
 - Review sponsor guidelines and create a proposal-writing work plan
 - Provide feedback on proposal narratives
 - Assist with drafting or secure supporting documentation
 - Community and Outreach
 - Create events and programs to advance and recognize CHSS research, scholarship and creative works
 - Nurture a sense of scholarly community and collaboration within CHSS and across the university

Research Development and Proposal Submission

- Dean's Office (Research Development and Research Operations - Finance)
 - Approves all proposal budgets and justifications
 - Assists with budgeting questions
 - Works with PIs/departments and approves cost share/match
 - Coordinates with the Office of Sponsored Programs

Research Development and Proposal Submission

- Federal Agency Resources
 - National Science Foundation
 - [Social, Behavioral and Economic Sciences \(SME\)](https://www.nsf.gov/dir/index.jsp?org=SBE)
(<https://www.nsf.gov/dir/index.jsp?org=SBE>)
 - [Proposal & Award Policies & Procedures Guide](https://www.nsf.gov/pubs/policydocs/pappg20_1/index.jsp)
(https://www.nsf.gov/pubs/policydocs/pappg20_1/index.jsp)
 - National Institutes of Health
 - [Institutes at NIH](https://www.nih.gov/institutes-nih) (<https://www.nih.gov/institutes-nih>)
 - [Application Guide](https://grants.nih.gov/grants/how-to-apply-application-guide.html) (<https://grants.nih.gov/grants/how-to-apply-application-guide.html>)
 - [Sample applications](https://www.niaid.nih.gov/grants-contracts/sample-applications) from National Institute of Allergy and Infectious Diseases (<https://www.niaid.nih.gov/grants-contracts/sample-applications>)
 - [NIH Report](https://report.nih.gov/) (<https://report.nih.gov/>)
 - [NIH Reporter](https://projectreporter.nih.gov/reporter.cfm) (<https://projectreporter.nih.gov/reporter.cfm>)
 - National Endowment for the Humanities
 - [Divisions and Offices](https://www.neh.gov/divisions-offices) (<https://www.neh.gov/divisions-offices>)
 - [NEH's Application Review Process](https://www.neh.gov/grants/application-process) (<https://www.neh.gov/grants/application-process>)

Budget Conceptualization

Budget and Budget Justification

- Be sure your budget and budget justification are supported by your project narrative.
- Ask for the amount of money you need to execute the project.
 - Asking for less will not impress reviewers and, if your application is awarded, could result in inadequate funds for executing the project.
 - Be sure to justify every item requested. Reviewers can always say no, but they cannot say yes to something you did not request.
- OSP website with some guidance for [Budget Preparation](#)

Budget Conceptualization

Types of things for which to budget

- Key Personnel
 - PI Salary & Course buyouts
 - Co-investigators
- Other Personnel
 - Postdocs
 - Grad students
 - Undergrad students
- Fringe Benefits (OSP budget template automatically calculates)
- Equipment
 - Nonexpendable, tangible personal property
 - Having a useful life of more than one year
 - An acquisition cost of \$5,000 or more per unit
 - Budgeted cost is based either on past expenditure history or vendor quotes
 - Laptops and similar items are not equipment (budgeted under Supplies and Other Direct costs)

Budget Conceptualization

Types of things for which to budget

- Travel
 - May occur for data collection, collaboration, training, or to disseminate project results at professional meetings
 - Amounts budgeted are based on estimated airfare, lodging and per diem, registration fees, and incidentals
 - Funding opportunity guidelines may specify travel allowability or restrictions
- Animal care costs
- Human subjects compensation
- Supplies and other direct costs
 - Include specific research costs and/or lab supplies, computer hardware and software, publication or abstract-submission costs, transcription, etc.
 - At Mason items such as telecom (cell phones, hotspots), printing, postage and general office supplies are only allowed as a project expense if the expense is specific to the project and easily identifiable

Budget Conceptualization

Types of things for which to budget

- Contractors/Subrecipients
 - The justification for these services will be included in the proposal
 - Contractor
 - An entity whose purpose is to provide goods and/or services
 - Not responsible for research results
 - Consultants/contractors are vendors
 - Has a procurement relationship
 - Subrecipient
 - Someone who may serve as a co-investigator
 - Performance is measured in relation to project objectives
 - Has responsibility for programmatic decision making
 - Uses funds to carry out a program for a public purpose as opposed to providing goods or services for the benefit of the pass-through entity
 - OSP can assist with making determinations of contractor/consultant versus subrecipient in the proposal preparation stage
 - OSP website about [Subawards and Subrecipients](#)



Budget Conceptualization

Facilities and Administration Costs (a.k.a. IDC, indirect costs)

- Mason has a federally negotiated F&A Cost Rate Agreement with the Office of Naval Research
- The rate is applied to the modified total direct costs (MTDC) such as
 - Salaries, wages and fringe benefits
 - Materials, supplies, services, and travel
 - Subrecipients (up to \$25,000 for each subrecipient regardless of period covered by the agreement)
- MTDC excludes
 - Equipment and capital expenditures
 - Tuition, SGHI, and Fellowships
 - Participant support
 - Rental costs of off-site facilities
 - The portion of each subrecipient award in excess of \$25,000
- It is University policy to collect full F&A on a sponsored program unless the sponsor has published a policy on F&A that restricts or forbids it

Recovered Facilities and Administrative (F&A) funds help support the expenses the institution incurs in the support of the University's research.

- F&A expenses cannot be identified readily and specifically to a sponsored project or institutional activity
- Examples of F&A/Indirect costs
 - Administrative staff salaries and fringe
 - Operation & maintenance costs (e.g. electricity)
 - Office telephones, printers, supplies
 - Books and postage
 - Professional membership dues
- Indirect expenses can only be charged to externally sponsored research when
 - The project has characteristics that make it one of “different purpose and circumstance”
 - The cost can be specifically identified with the project with a high degree of accuracy
 - The cost is identified in the budget and approved by the sponsor
 - A Cost Accounting Form is required for federal awards during proposal preparation
- [Current F&A Rates](#)

Distribution of Recovered F&A

Facilities and Administrative (F&A) funds recovered on sponsored projects are distributed according to university policy. To reward excellence and incentivize growth, the university developed a new distribution strategy as of 2/14/19:

Baseline Distributions: F&A expenses recovered from the unit *up to the FY 2016-2017 baseline for that unit* will be distributed in the usual format:

- 30% of recovered F&A is allocated to the CFO's office up to a cap of \$3.4M;
- 35% of recovered F&A is allocated to the Provost's office; and,
- 35% of the recovered F&A is allocated to the academic unit.

Above Baseline Distributions: F&A expenses recovered *above the FY 2016-2017 baseline for that academic unit* will be distributed as follows:

- 80% of the recovered F&A expenses above the baseline is allocated to the academic unit; and
- 20% of the recovered F&A expenses above the baseline is allocated to the VPR's office.

[GMU F&A Distribution Guidelines](#)

Distribution of Recovered F&A

As result of the updated guidance, CHSS put in place this guidance:

- The 35% academic unit F&A distribution remains as before:
 - PIs/Co-PIs @ 10.5%
 - Department/Center @ 7% (split equally)
 - College @ 17.5%.
- When more than one PI is involved, the distribution among the PIs and units is calculated using a multiplier, which is newly based on the “Intellectual Contribution” of each PI/Co-PI as determined by the researchers.
- Administrative exception: For multi-college projects, there may be times when the intellectual contribution model does not cover the administrative costs to house the project. The Dean’s Office may request exceptions to the intellectual contribution model.

Award Negotiation and Acceptance

- OSP:
 - Institutional acceptance of awards (reviews for compliance, negotiates as needed, and holds signature authority)
 - Prepares NDAs, MOUs, Teaming Agreements (subcontracts) as required
 - Notifies PI and Dean's office of pending award
 - Initial notice of award (via email) will indicate required compliance actions (i.e. human subjects IRB approval, revised budget, export control)
 - Fully executed award notice (via email)
 - Includes OSP comments on special conditions in email
 - Includes sponsor award document, approved budget, PI Report Guide (using financial systems)
- PI:
 - If a notification of award is sent directly to PI without inclusion of OSP, be sure to notify Dean's Office (Finance) and/or OSP Team Manager
 - Prepare and submit protocols (human subjects, animal subjects, hazardous material) – full execution is dependent on meeting compliance requirements
 - Work with RDIA office regarding export controls if required
 - Complete and return PI Finance Access Request Form

Award Management

- PI: primary responsibility for accomplishing the technical/programmatic goals of the project while also complying with the financial and administrative policies and regulations associated with the award
 - Approval of expenditures
 - Monitor and oversee subrecipients
 - Review and approve reconciliations
 - Complete technical reports and other deliverables as required
 - Review and approve payroll certifications (federal awards)
- Department Admins:
 - Processing expenditures (labor and purchasing goods/services)
 - Reconcile sponsored awards
 - Forecast project budgets, monitor project spending
- Dean's Office (Finance)
 - Financial compliance oversight (liaison with OSP and departments)
 - Assist departments/PIs with project financial management
 - Review and approve externally sponsored expenditures
 - Provide guidance on research policies and procedures
 - Training (CHSS staff internal)



Award Management – Approval of Expenditures

What can be directly charged to an externally sponsored project?

1. **Allowable** – cost is allowable under the provisions of Uniform Guidance, the terms and conditions of the specific award/sponsor, and Mason
2. **Allocable** – the cost can be associated to the project with a high degree of accuracy
3. **Reasonable** – the cost reflects what a “prudent person” would pay in similar circumstances
4. **Consistent** – the cost is treated the same across the University or other similar circumstances

Award Management - Labor

- Faculty effort is processed through funding change forms (FCFs)
- Part-time/temporary positions (GRAs, wages, summer research) are processed through Electronic Personnel Action Forms (EPAFs)
- Communication with department administrator is key
- Provide sufficient notice to ensure all hiring actions can be completed before employee work actually begins
- Payroll schedules and deadlines are important
- Payroll Certification
 - Certification of labor charges (and cost sharing) that is required on all federal awards (annual and at closeout)
 - Charges are reasonable in relation to the work performed
 - Reports must be reviewed and approved by PI
 - Reports not certified within 60 days will result in salary charges moved to a non-sponsored funding source

[Guidelines for Charging Faculty Salary to Sponsored Projects
CHSS Academic Year and Summer Effort on Grants](#)

Award Management – Goods and Services

- Sponsored projects often have budget restrictions – review awarded budget and award terms and conditions
- All expenditures must have PI approval and must comply with institutional procurement policies and procedures
- Communication with department admin on project needs is key
- Types of expenditures:

Tuition/SGHI	Human Subject Incentives
Travel	Lab Supplies
Participant Payments	Consultants
Subcontract Invoices	
- Typical unallowable expenses:

Telephones	Printing/Copying
Postage	General office supplies
Food & Beverage	Books
Parking	Facilities
Professional Membership Dues	

Award Management – Reconciliation

Reconciliation – a systematic review of Banner financial activity to verify that all charges and credits are accurate and appropriate, to include identifying expected transactions that have not yet occurred.


- Confirm expenditures do not exceed available award budget and are within the period of performance
- Ensure expenditures are appropriate according to the approved budget and are intended for the purpose of the project
- Ensure appropriate account codes are used
- Ensure appropriate source documentation is maintained
- Confirm no missing expenditures/credits
- Identify and correct errors in a timely manner
- Monthly reconciliations are encouraged, bi-monthly are required
- Must be fully completed within 60 days of the last month reconciled
- Corrections must be completed within 90 days of expense posting

[University Policy 2114: Reconciling Department and Sponsored Fund Accounting Records](#)

Award Management – PI Reports

- Summarized financial snapshot of award
- PIs will have access and can run reports at any time
- System automatically generates monthly summary report sent via email to PI

From: "Reporting Support Team" [<mailto:noreply-rsteam@gmu.edu>]
Sent: Saturday, August 02, 20 9:04 AM
To: [Redacted]
Subject: PI Report 222 August, 20


PI Report 222 August 20

[Link to PI Quick Guide](#)
[Link to PI Dashboard](#)

08/02/20

Grant Summary 222

Grant	Fund	PI	Sponsor	Org Desc	Start Date	End Date	Grant Month	Grant Elapsed Month	Funded Amount	Expenses To Date	Commitments	Avail Amount
222	222	[Redacted]	[Redacted]	Grants & Contracts	9/16/20	3/31/20	19	12	6,000.00	4,003.44	0.00	1,996.56
Total							19	12	6,000.00	4,003.44	0.00	1,996.56

Fund Summary for Grant 222

Fund	Project	Acct Pooled Budget Level		Funded Amount	Expenses To Date	Commitments	Avail Amount
222	[Redacted]	61130	Faculty Special Payments	3,504.00	2,029.00	0.00	1,475.00
		61900	Fringe Benefits	255.00	149.34	0.00	105.66
		70000	Other Direct Expenditures	1,002.00	999.00	0.00	3.00
		Direct Total		4,761.00	3,177.34	0.00	1,583.66
		79000	Indirect	1,239.00	826.10	0.00	412.90
Indirect Total		1,239.00	826.10	0.00	412.90		
Total				6,000.00	4,003.44	0.00	1,996.56

Award Management

Cost Transfers – transfer of an expense to a federal award for a transaction previously recorded elsewhere

- Must be processed within 119 days of original transaction
- OSP approval required if more than 120 days
- Administrative oversight is not an appropriate extenuating circumstance for transfers exceeding 120 days

Best Practices

- Expenditures are charged to the appropriate project initially
- PI and Department Admins review and monitor the project on a regular basis
 - Expenditures charged are appropriate
 - Errors are identified in a timely manner
 - Appropriate corrective actions are taken in a timely manner

Award Management – Post Award Modifications

Circumstances may arise that warrant the need for post award modifications that require sponsor approval. Examples: no-cost extensions, PI changes and transfers, budget revisions, and changes in scope of work.

- **PI:**
 - Recognize the need for a post award modification
 - Inform Department Admin and/or Dean's Office (Finance)
 - Email OSP Green Team Manager when post award modification need is identified

- **OSP:**
 - Works with PI, administrators and Dean's Office to coordinate post award modifications
 - Will inform PI/department if a formal Request for Assignment is necessary
 - Submits official request for all post award modifications to sponsor

- **Dean's Office**
 - Assists PI/department with questions regarding post award modification needs
 - Works with OSP and department on submitting and preparing requests to OSP

Billing/Reporting and Closeout

- OSP:
 - Primary responsibility for billing, financial reporting and closeout documentation
 - Closeout notices are emailed and indicate final reporting deadlines
- PI:
 - Responsibility for submitting technical/progress reports (final copies should also be sent to OSP)
 - Work with department admin to verify all expenses have posted, project is not overspent
 - Receives 30-60-90 day closeout report via email automatically from PI Reports
 - All open commitments must be closed and subcontract closeout completed
- Dean's Office
 - Department admins receive monthly emails identifying projects within 30-60-90 days of closeout
 - Works with OSP and department on any billing issues/clearing overspent

University Research Policies

- <https://universitypolicy.gmu.edu/university-policies/research/>

Research

- 4001 - Conflict of Interests
- 4002 - Copyright in University Works
- 4003 - Patenting University Inventions
- 4004 - Occupational Health and Safety Program for Animal Care and Use Personnel
- 4005 - Cost Transfer Policy
- 4006 - Sponsored Programs Administration
- 4007 - Misconduct in Research and Scholarship
- 4008 - Private Sector Funding for George Mason University
- 4009 - Subrecipient Monitoring Policy
- 4011 - Ownership and Maintenance of Research Records
- 4012 - Principal Investigators
- 4013 - Fixed Price Agreements
- 4015 - Payroll Certification on Federally Sponsored Projects
- 4016 - Cost Sharing
- 4017 - Research Involving Human Subjects
- 4018 - Postdoctoral Research Fellows
- 4019 - Research-Extended Appointment Policy
- 4020 - NSF Awards Harassment Policy

CHSS Research Policies

- <https://chss.gmu.edu/research/sponsored-research-policies>

[Academic Year and Summer Effort on Grants](#)

[Procedures - Research-Extended Appointments and Summer Pay Exception](#)

[Forms - Research-Extended Appointment Request](#)

[Forms - Summer Pay Exception Request](#)

[CHSS Salary Cap Administration Policy](#)

[CHSS Teaching Load Standards](#)

[CHSS Startup Policy](#)

- CHSS F&A policy is currently in draft form and will be posted when formally approved

CHSS Research Development

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