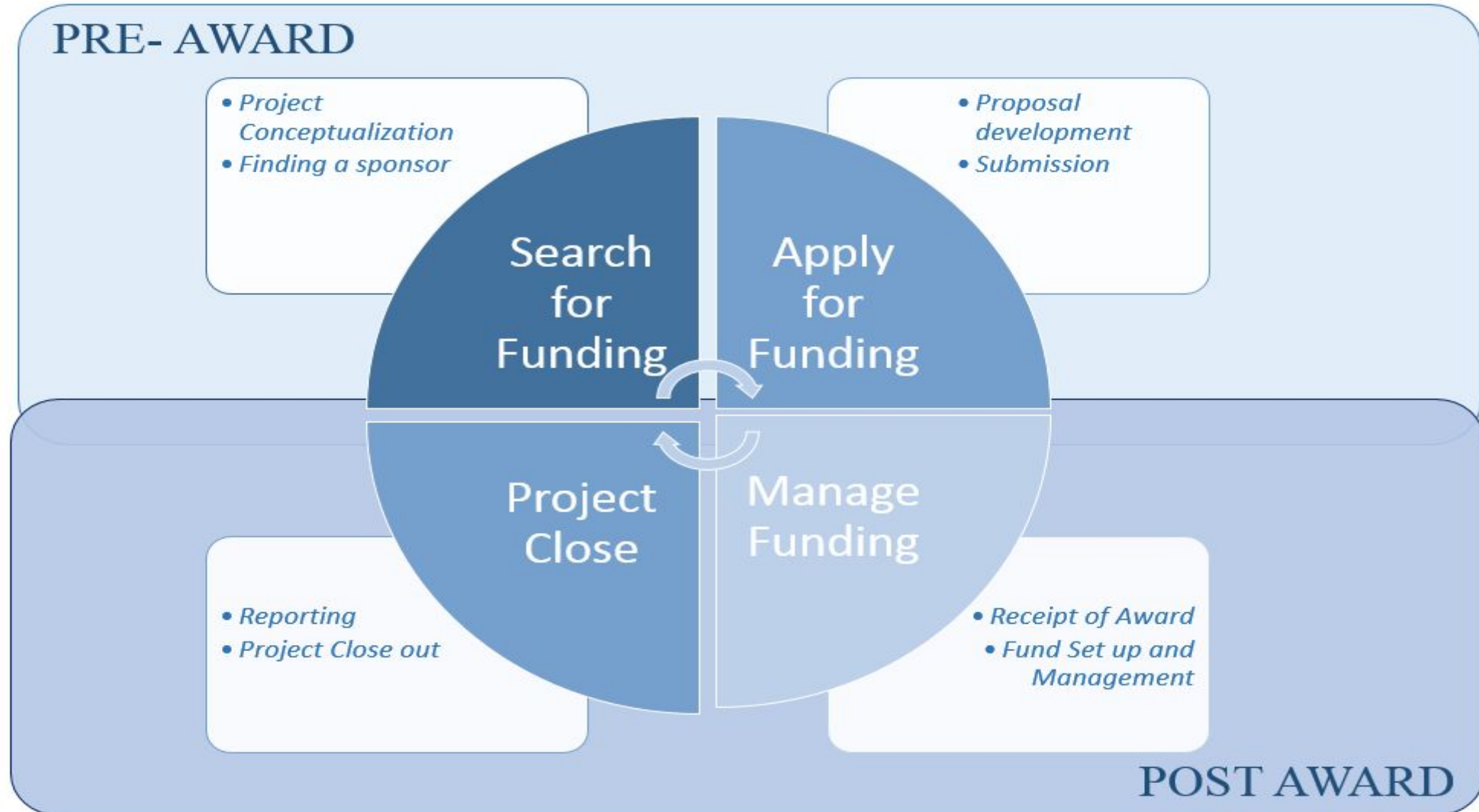# UNIVERSITY OF NORTH CAROLINA CHARLOTTE

Learning Objectives:

- Understand the UNC Charlotte Grants Life Cycle

- Learn How to Submit a Successful Proposal

- Manage Awards from Negotiation through Closeout

Research Funding Life Cycle

Pre-award phase

- Research
- Proposal development
- Application submission

PROJECT CONCEPTUALIZATION	IDEA SOUNDING BOARD (MENTORS; CONFERENCES; JOURNALS)
	GOOD IDEA OR NOT
	COLLABORATE
FIND FUNDING	CHARLOTTE SERVICES: CENTER FOR RESEARCH EXCELLENCE, PIVOT SOFTWARE, HANOVER RESEARCH
	POTENTIAL FUNDING SOURCES (GOVERNMENT, INDUSTRY AND NON PROFITS: Grants.gov; NSF.gov;
	AGENCY ALIGNMENT: CONTACT PROGRAM OFFICERS AND AGENCIES
PROPOSAL DEVELOPMENT	CHARLOTTE OFFICE OF RESEARCH SERVICES: BUDGET DEVELOPMENT, PROPOSAL REVIEW AND COMPLIANCE REQUIREMENTS
	READ THE RFP, RFA, PROGRAM SOLICITATION OR ANNOUNCEMENT, MANY DIFFERENT ACRONYMS AND NAMES
	CONTACT ORS (FOR BUDGET AND PROPOSAL ASSISTANCE) AND START NINER RESEARCH IPF
PROPOSAL/APPLICATION SUBMISSION	**NINER RESEARCH**
	POLICY 20.2 PREAWARD RESEARCH POLICY: DEADLINE FOR SUBMISSION (10, 5 AND 2 BUSINESS DAY CHARLOTTE POLICY)
	POLICY 20.1 PI Status

UNIVERSITY OF NORTH CAROLINA
CHARLOTTE

Sparking ideas

o **Engage with your colleagues**

| Time investment | Corridor conversations | Collaborative projects | Coffee breaks | Guest lectures | Workshops & forums | Lunch/dinner/drinks |

o **Engaging with professional societies**

o **Engage at conferences**

o **See what the funding agencies are looking at**

Kick starting ideas without the big $$

o Gets some preliminary results/ proof of concept

o Initiate/establish a new collaborative partnership – learn each other's language

Projects with undergraduate students – enthusiastic, not that expensive up to $12/hr

o Pay undergraduates from current projects (if allowable)

o Office of Undergraduate Research (OUR) Summer Research Scholar Program

o Levine Scholars Research Initiative (contact Dr. Stephanie Norander)

UNC Charlotte seed funding opportunities

DR- Center for Research Excellence (CRE)

Faculty Research Grants

CHESS Small Grants Program

School of Data Science seed funding

Find Funding Sources

- Access Pivot via my.charlotte.edu
- Utilize CRE Services
- Email lists

- Often its very late in the game when you hear of a proposal deadline ...

- **Need to get ahead of the game**
  - Learn the cadence of the agency
  - Stay informed of what they are considering ...

- **Mentors in your field** will know the 'go-to' funding opportunities and their deadlines

- **Mentors outside your field** might have tangential funding opportunities and potential collaborators

Submitting a successful proposal at UNC Charlotte

Create a Niner Research Internal Processing Form (IPF) & email your Research Administrator

Develop a budget & budget Justification

Route and submit your proposal

What is Niner Research?

Niner Research is UNC Charlotte's eRA (electronic Research Administration) system. It is our information system that maintains the university's data for all sponsored research. (sponsored research are funded research or development projects (either internally or externally funded)). These projects typically have specific goals, financial accountability, and reporting requirements.

What data does Niner Research have:

Proposal Data (IPF FY-XXXX)   **Compliance Data**

Award Data (Awd FY-XXXX)   **Change Request Data**

Financial Data

UNIVERSITY OF NORTH CAROLINA
CHARLOTTE

Where is Niner Research?

My.charlotte.edu
Or
https://infoed.charlotte.edu/EnableWeb/Portal/Home

When to use Niner Research?

Grants, contracts and agreements: Sponsored research proposals should be started in Niner Research as early as possible.
The university [Policy 20.2: Deadlines for Proposal Submissions to University Offices](#) (Division of Research) states:

1) At least **10 business days** in advance of the sponsor's submission deadline, an Internal Processing Form (IPF) must be initiated in the University's electronic research administration (eRA) system and the following sections (tabs) completed (1) Setup Questions, (2) Personnel(faculty), and (3) General Information.
2) At least **5 business days** in advance of the sponsor's submission deadline, the final proposal budget and all remaining sections of the IPF must be completed and the routing process for approvals initiated.
3) 3) At least **2 business days** (48 hours) in advance of the sponsor's submission deadline, all final application materials must be entered into the eRA system and received by the office responsible for authorizing the submission.

Develop a [Budget](#) - Remember these best practices: [ORS Dept](#)

1. **Detailed budget justification**: Tell your project story within the budget justification (also called narrative)…Explain how it contributes to the project's goals and objectives
2. **Consistency**: Ensure consistency between the budget justification and the proposal narrative/strategy. You can include activities, timelines and charts so the reviewer understands the costs involved with your project.
3. **Accuracy**: Use accurate and realistic estimates for all costs. Avoid overestimating or underestimating expenses.
4. **Compliance**: Follow the grantor's guidelines and requirements. Ensure that all budget items are allowable

Key Components of a Grant Budget - $$$

- **Direct Costs**:
  - **Personnel** Costs: Salaries and wages of project staff, including full-time, part-time, and temporary employees and students.
  - Fringe benefits, such as health insurance, retirement plans, and taxes.
- **Other Direct Costs**:
  - Subrecipients
  - Travel
  - Supplies
  - Cost of Education (tuition)
  - Publication, Vendor, etc
- **Indirect Costs**: Administrative and overhead expenses related to the project, such as office rent, utilities, and administrative support.

Route and Submit your Proposal - (Charlotte Proposal Submission Link)

1. The Proposal Development department will submit or coordinate submission your proposal to the agency on behalf of university (this includes when we are a subrecipient on a proposal that is being submitted by another institution.
2. Be sure you have the proper logins, etc. from the agencies
3. Review your full proposal prior to submitting
4. Policy 20.2 (10,5,2 business days university Submission Deadline policy)

Yay! You've received a grant award…what's next?

AWARD REVIEW

ALWAYS REVIEW AWARD NOTICE

COMPLIANCE CHECK AND BUDGET ASSESSMENT

SUPPORTING DOCUMENTATION AND REPORTING REQUIREMENTS

NEGOTIATION

AMENDMENTS & MODIFICATIONS

BUDGET REVISIONS

COMPLIANCE REQUIREMENTS AND SCOPE OF WORK

ACCEPTANCE

FORMAL AGREEMENT AND SIGNATURES (ONLY AUTHORIZED ORGANIZATIONAL REPRESENTATIVES (AOR'S) CAN SIGN GRANTS AND CONTRACTS)

PROJECT KICK-OFF AND ROLES AND RESPONSIBILITIES

FUNDING AWARD ACCOUNTS (BANNER AND NINER RESEARCH)

Award phase

- Application review
- Negotiation
- Acceptance

Contract & Awards Negotiation ([Department Link](#))

- Review award for compliance with proposal, budget, and any applicable research compliance requirements
- Review award terms and conditions for acceptability by the University
- Negotiate award terms and conditions with sponsor as needed
- Communicate with Principal Investigator(s) on potentially problematic terms and conditions affecting the project and possible resolutions
- Release fully reviewed and approved awards for fund (Banner) set up
- Initiate outgoing subcontracts in compliance with prime award
- Sign funding agreements as <u>authorized signatory</u> for the University

Post Award Phase

IMPLEMENTATION & MANAGEMENT

CHARLOTTE SYSTEMS: NINER RESEARCH & BANNER

SET UP TIMELINES (WHO DOES WHAT)

INTERNAL & EXTERNAL FUND NUMBERS

MONITORING & REPORTING

MONTHLY FUND STATEMENTS (ORS AWARD MANAGEMENT DEPARTMENT)

TECHNICAL AND FINANCIAL REPORTING

KNOW THE AGENCIES (GOVERNMENT, NON PROFIT, INDUSTRY)

EVALUATION & MEASUREMENT

WHY?

PROPOSAL INFORMATION

REPORTING & COMMUNICATION

CLOSEOUT

POST-AWARD POLICIES

Award process

Got an Award – don't start spending yet!

Award Notification process steps *before* spending

Budget revisions?

Fund number: 5XXXXX

10 Working days

| Award notification | → | Contracts & Negotiations | → | Awarded Budget into NR | → | OSPA assigns a fund number | → | Post Award |

Pi ? ?

Legal/IP ? ? Funding Source ?
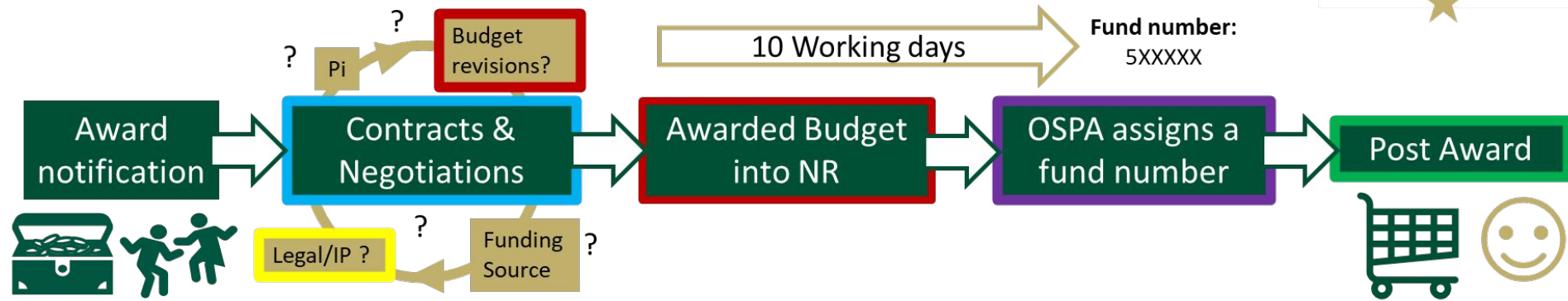
Assumption of Risk (AOR) up to $30k in direct costs to enable early spending maybe an option – but is not a given – ask!

ORS
Research Services
Director

Rosemarie Wickham
Research Support Coord

PRE
Stafford Farmer
Sr. Associate Director
Proposal Dev

Natasha Walton
Associate Director
Contract and Award Negotiator

Contracts & Negotiations

Post
Monica Warner
Associate Director
Award Management

Award Setup & Management

Office of Research Services: Award Management

- Know your post award manager

Office of Sponsored Projects Administration (OSPA)

- Award Set up. (Banner fund number)
- Monitoring and reviewing activities on sponsored projects including Banner budget entry, internal budget revisions, cost-share, and release time.
- Monitoring for financial compliance on sponsored projects.
- Monitoring participant support costs and program income.
- Assumption of Risks (AOR).
- Monitor IUCRC and Affiliates.
- Prepare financial (agency) reports.
- Subrecipient Monitoring.
- Award closeout.
- Managing external audit and desk reviews on sponsor awards.

Grant Cash Management ([Department Link](#))

Grant Cash Management is a unit of the Controller's Office (Division of Business Affairs) that works with the campus community and external sponsors to manage the University's sponsored programs cash funding:

- Federal drawdown (cash reimbursements)
- Invoices
- Collections
- Financial reporting

Don't forget…Closeout Process

Final Reports: The PI must ensure that all final technical and progress reports are submitted to the sponsor. This includes a final Research Performance Progress Report (RPPR) and any other required reports

Financial Reporting: The PI must work with the Office of Sponsored Programs (OSP) or equivalent to complete and submit the final Federal Financial Report (FFR). This report should accurately reflect the use of funds and be submitted within the required timeframe.

Expense Forecasting: The PI should begin preparing for closeout at least three months (90 days) prior to the grant expiration date. This involves forecasting expenses and making any necessary financial adjustments.

Compliance: The PI must ensure that all terms and conditions of the grant are met, including compliance with federal and sponsor-specific requirements

Faculty considerations:

• Collect, maintain and share research archive documentation (Publications, Surveys and evaluations)
• Future funding considerations and opportunities from results

Division of Research – Org Chart

Center for Research Excellence (CRE)
LaVerne Ellerbe (Director)

Office of Research Services (ORS)
Stafford Farmer (Interim Director)
○ Pre, Post, and Contracting

Office of Research Protections and Integrity (ORIP)
Angelica Martins (Director)

Associate Vice Chancellor Research
Deb Thomas

UNIVERSITY OF NORTH CAROLINA
CHARLOTTE

Chancellor
UNC Charlotte
aron L. Gaber

Vice Chancellor Research
John Daniels

Carolyn Aguiar
Executive Assistant

Associate Vice Chancellor
Research Dev & Operations
Deb Thomas

Barbara Lash
Public Comm Specialist

Michael Braha
Data Reporting & B
Systems Analyst

(position vacant)
Electronic Research
Administrator

Executive Assistant

Center for Research Excellence — LaVerne Ellerbe, Executive Director

- Stacy Leotta — Assistant Director/ Program Coor
- Katherine Alexander — Proposal Specialist
- (position vacant) — Research Assistant
- Kailey Hess — Limited Submissions & Internal Funding Coor
- (position vacant) — Training Specialist

Research Services — Peter Szanton, Executive Director

Rosemarie Wickham — Research Support Coordinator

- Stafford Farmer — Sr Associate Director Proposal Dev
  - Caroline Kennedy — Proposal Dev Officer
  - (position vacant) — Proposal Dev Officer
  - (position vacant) — Sr Proposal Dev Officer
  - Victoria Cherwon — University Program Spec.
  - Julie Jones — Sr. Proposal Dev Officer
  - Jordan Rizzo — Proposal Dev Officer
  - (position vacant) — Sr. Proposal Dev Spec

- Natasha Walton — Associate Director Contract Neg
  - (position vacant) — Contracts Admin
  - Chanelle Jones — Sr. Contract Negotiator
  - Jelani Cooper — Sr. Contract Negotiator
  - Kevin Byrnes — Outgoing Subaward Manager
  - (position vacant) — Sr. Contract Negotiator

- (position vacant) — Associate Director Large Awards Concierge Team Award Set-Up
  - (position vacant) — Sr Proposal Dev Spec (Sub-team) Univ Prog Spec III
  - (position vacant) — Sr Award Management Spec

- Monica Warner — Associate Director Award Management
  - Sarah Johnson — Award Management Spec
  - (position vacant) — Award Management Spec
  - (position vacant) — Sr. Award Management Spec
  - Breanna Causey — Award Management Spec
  - Elizabeth Mace — Business Serv Coordinator
  - Linda Reece — Award Management Spec
  - Malisha Green — Award Management Spec -Engineering
  - Evonne Ward — Award Management Spec
  - Kim Wilson — Award Management Spec
  - Nataly Tapper — Sr. Award Management Spec
  - (position vacant) — Univ Prog Spec II (focus on CCI)
  - Kristen Morse — Sr Award Management Spec

Office of Sponsored Administration — Darlene Booker, Executive Director

- Christelle McKinney — Assistant Director Compliance & Reporting
  - Tanisha Bright — Sr. Reporting & Compliance Spec
  - Shenycia Lora — Sr. Financial & Subrecipient Compliance Spec

- Shawnee Haney — Asst. Director/ Post Award Management
  - (position vacant) — Post Award Research Admin
  - Jocelyn Westpfahl — Post Award Research Admin

- (position vacant) — Sr Lead Research Administrator
  - Lauren Gunderman — Sr. Research Administrator
  - (position vacant) — Sr. Research Administrator
  - Lynda Lockman — Sr. Research Administrator
  - Ravon Murphy — Sr Fin Analyst/ Post-Award Finance & Compliance
  - Erica Tadlock — Sr. Research Administrator

Research Protections & Integrity — Research Integrity Officer — Angelica Martins, Sr. Executive Director

- Sherry Loyd — Assoc Director & COI Officer
  - Tyler Forgette — IRB Specialist
  - Lacy Kitchin — Export Control/ Research Security Officer
  - Cat Runden — IRB Manager
  - Raymond Hartsfield — Research Integrity Specialist
  - Saul Sotolongo — Research Security Coordinator
  - (position vacant) — Sr. Research Integrity Admin
  - (position vacant) — Research Tech (Time-Limited)

- Sarah Moldovan — Animal Care Manager
  - Alvaro Perez — Animal Care Asst. Manager
  - Hernando Gordils — Research Specialist
  - Melissa Richardson — Research Specialist
  - Cathy Moore — Biosafety Officer
  - Linda Connolly — IACUC Coordinator

Office of Research Commercialization & Partnerships — Greg Needham, Sr. Executive Director

- Jeffrey Woolard — Associate Director/ Trans & Energy
- Patrick Boyle — Associate Director/ Health/Medical & Bioinformatics
- Carolyn Keith — Assistant Director/ Clean Energy/Eco Workforce Dev
- Ali Mateen — UBP Services/PORTAL Manager
- Kerriona Jones — UBP Assistant/Office Manager
- Devin Collins — EDA Regional Innovation Officer
- Rodney Husk — Program Director, Venture Creation

Laura Peter — Executive Director
- Brad Fach — Director of Licensing & Operational Excellence
- Andy Gonzales — Univ Program Spec
- Bella Hux — Technology Transfer
- Arianna Harper — Tech Mkting & Outreach Mgr

Budget and Personnel — Sheri Rice, Director
- Lolita Gonzales — Assistant Director
- Pearl Brown — Human Resource Specialist
- Jessica Thomas — Business Serv Coord
- Khadija Khalid — Business Serv Coord
- Andrea Maruri — Business Serv Coord

Associate Vice Chancellor Research
Deb Thomas

OSPA
Darlene Brooker (Director)

Conflict of Interest Committee

Partnerships
Greg Needham

DR CLEAR Committee

IP
Laura Peter

Institutional Biosafety Committee

Institutional Animal Care & Use Committee

Institutional Review Board

Links & Resources

- Niner Research Information Webpage with Tutorials and Documentation
- Division of Research About Us (links to DR's Departments)
- Division of Research Ticketing and Tracking Service
- Proposal Submission Information Webpage
- Research Administration Policies
- Human Subjects Policies and Procedures
- Institutional Information (This information is typically required for the development and submission of proposals and other agreements to various external agencies.)
- Need Technical Assistance: **ninerresearch@charlotte.edu**

UNIVERSITY OF NORTH CAROLINA
CHARLOTTE

Upcoming CRE/CHESS Workshops

Funding Opportunities in the Humanities and Social Sciences
Wednesday, February 26 (11:15 a.m.-12:15 p.m.)

Niner Research Training
Wednesday, March 26 (11:15 a.m.-12:15 p.m.)

Preparing Grant Budgets
Wednesday, April 23 (11:15 a.m.-12:15 p.m.)

January 22,2025
CHESS Information Session

?

Center for Research Excellence

LaVerne Ellerbe, PhD, Executive Director, lellerb1@charlotte.edu

Stacy Leotta, MPA, CRA, Assistant Director & Program Coordinator, sleotta@charlotte.edu

Katherine Alexander, Proposal Development Specialist, kalexa46@charlotte.edu

Kailey Hess, Limited Submissions & Internal Funding Coordinator, khess10@charlotte.edu

DIVISION OF RESEARCH

Thank you for attending