10 Things to Remember when Obtaining and Managing Funding

The following items are a basic “checklist” of things to plan for and/or complete as early as possible when preparing to submit funding proposals. This is intended to be a helpful guide, but is not an all-encompassing set of instructions and requirements for each individual project or situation.

1. **Prepare and Search** – Align your research program to the funding initiative and search for matching opportunities (commonly released through grants.gov, FedBizOpps, etc.). Visit the CEAS Research Opportunities site for additional resources. For initial access to this secure internal site, contact Molly Riddell.

   **Note:** For guidance on large-scale proposals (> $1 million in annual funding) please contact Molly Riddell, Manager of Large Proposals or visit the Large Proposals Support section of the CEAS Research Opportunities site.

2. **Plan the Proposal** – Following OVCR policy, contact the designated OCG Proposal Analyst at least **10 business days (14 calendar days)** before the proposal due date. Let OCG know the following:
   - Complete the Proposal Submission Request (PSR) form.
   - Name of PI(s) and CO-PI(s) and their department and if planning to have subcontractor(s)
   - Name of sponsoring agency
   - Program announcement /request for proposal
   - Budget Information – Including project title, period of performance, personnel and level of effort, equipment, travel, other direct cost and cost share expenses (if part of proposal). Facilities and Administration (F&A), overhead, and benefits rates are available on the Accounting and Business Support (ABS) Cost Accounting page.

   **Prepare Your Budget, ensuring it is finalized within FIVE WORKING DAYS (7 calendar days) before the deadline (per OVCR policy), including the Budget Justification.**
   - Link to rates and salary amounts for grad research assistants are available on the (current IDC rate 53.0%) OCG Frequently Needed Information page.

   **Locate relevant forms** on the OCG Proposal Preparation Forms page and OCG Frequently Needed Information page (including address and authorized individuals).
   - **Subcontract Forms and Information** – Forms on website link need to be completed by both the subcontractor’s Sponsored Project Office and by their PI and by CU-Boulder Principal Investigator.
   - **Cost Share Requirements and Addendum Form** – Contact the department and CEAS Dean’s Office for cost share contributions. The form must be completed and signatures obtained before submission to OCG. Cost Share requests must be completed early in the proposal process.
   - **Cost Accounting Standards Exception Form** – The Cost Accounting Standards (CAS) Exception Form is used to ensure compliance with the federal government’s cost accounting standards outlined in 2 CFR 220. This form is submitted at the proposal stage when requesting exceptions to the aforementioned standard. These exceptions include requests to charge administrative/clerical labor costs, office supplies,
telephones, general office equipment such as laptops, printers, or copiers as direct costs on a sponsored project.

3. **Consider Any Applicable Compliance, Partnership, IP, Technology Transfer Components** – Some grants and contracts require additional approvals from various compliance activities on the CU-Boulder campus. These may include required agreements with the Tech Transfer Office (TTO) prior to meeting with collaborators or partners; Intellectual Property (IP) Agreements, Non-Disclosure Agreements (NDAs), membership agreements with OCG (e.g. Center Memberships, Cooperative Research and Development Agreements), and compliance review for export control (ITAR, EAR) with the Office of Research Integrity.

**Research Integrity and Regulatory Compliance**

The role of the Office of Research Integrity (ORI) is to assist researchers in conducting research that meets the highest standards of ethical and regulatory compliance. Visit the [ORI Compliance](#) page for further information about human or animal subjects, controlled substances used in research, conflict of interest (DEPA), or export controls.

**Technology Transfer Office**

Technology Transfer at CU is a system-level operation managed by Kate Tallman, Interim Associate Vice President for Technology Transfer. Although TTO is a CU System organization, the Office maintains positive relationships at all levels of Campus Administration. For the Boulder Campus, the Director of Technology Transfer is Dr. MaryBeth Vellequette.

The CU TTO administrative backbone provides support (IP administration, marketing and communications, policy development, legal advice, compliance, and financial management) and operational engagement. Specifically, TTO supports CU researchers with the following services:

- Advises faculty on IP issues
- Works with principal investigators on setting up non-disclosure agreements (NDA, CDA)
- Fosters inventor participation in the technology transfer process
- Advises campus researchers about the technology transfer process through a variety of means including seminars, monthly newsletter and special events
- Solicits and analyzes invention disclosures from faculty, students, and staff
- Analyzes commercial feasibility of University IP and helps devise subsequent strategies to commercialize IP
- Prepares and manages the transfer of "tangible research property" such as biological materials
- Licenses patents and copyrights for commercial use and manages those licenses.

Contact information for TTO is available on the [Technology Transfer Office Contacts](#) page.

4. **Notice of Award** – Send notice of award to OCG@colorado.edu and Linda Rose in CEAS. We can only watch for the award to be sent to CU if we have insight that it has been awarded.
If you did not complete a proposal for your award (as in cases when you are a subcontractor on an SBIR grant or developing a research plan with a company), contact your OCG Proposal Analyst for assistance. OCG and SPA require that all grants and contracts have a Statement of Work, Budget and Budget Justification on file.

5. Changes in Budget or Budget Deviations – You need to let OCG know if you will require changes to your budget. The university has procedures in place for requesting Organizational Prior Approval (OPAS) for budget changes or deviations on grants. The OPAS form can be found in Award Management section of the OCG Proposal Preparation Forms page.

6. Notification of Processed Award (SPEEDTYPE Notification) – An auto email is generated (sent nightly) by the Finance System when a new project or award modification has been entered in the Finance System. The email is sent to the principal investigator and department financial manager. Please watch for emails from Finance.System@cu.edu. If you have questions on your speed types you can contact your department financial staff or Linda Rose.

7. Sponsored Project Accounting Support – Sponsored Projects Accounting (SPA) manages the financial aspects of an award after it is received. The SPA Accountant will work with you to ensure that you are properly allocating costs to your award. Allowable costs need to be reasonable, allocable and consistent. Be proactive and contact your accountant when you are not sure, so you will not have charges that will need to be moved at project close-out time. You can locate your accountant by looking under the responsibilities column for your sponsor name on the Accounting and Business Support Directory page.

8. Additional Award Incremental Funding – If you are anticipating additional funding on your award, please review the award documents for requirements such as filing technical reports to ensure timely receipt of additional funds. Contact your department research administrative staff for assistance.

9. No Cost Extensions – All No Cost Extensions (NCEs) require genuine programmatic justification. Sponsors do not permit NCEs solely for the purpose of spending remaining funds. Be aware of the submission deadline for NCE for your award. Contact Linda Rose for a NCE template that can be submitted to your designated grant or contract officer.

10. Award Management and Close Out – Prior to the end date on your award, expenses should be reviewed with your Research Admin Staff and your SPA Accountant. Expenses that are not allowable will have to be moved off of the award. SPA recommends that you or your designated financial staff review charges on awards at least every other month. Final written reports will need to be submitted as instructed in your award documents.