NOV 7, 2018

LIFECYCLE OF AN AWARD
AGENDA

• Welcome and introductions
  Kim Mann, Manager, Research Administration Support, VPR

• Partnerships – OSP and VPF
  Bernadette Vallely, Senior Contract Administrator, OSP
  Pamela Schickling Buckley, Sr. Director, Practice & Process Improvement, VPF

• Lifecycle of a Sponsored Award

• Additional Partnerships - Foundation Relations & TLO
  David Gordon, Senior Director, Office of Foundation Relations
  Lesley Millar-Nicholson, Director, Technology Licensing Office

• Q&A

• Next Session Plans
PARTNERSHIPS – OFFICE OF SPONSORED PROGRAMS

Partner with faculty and staff to provide the highest quality research administration at all stages of sponsored projects, including:

• Assist in securing sponsored research funds that are consistent with the mission and goals of the Institute.
• Advise on proposal preparation.
• Review and approve of proposals for extramural support on behalf of the Institute.
• Negotiate research contracts and agreements, and certain other sponsored programs (may be shared with Office of General Council)
• Partner with the PI/Department, Labs and Center (DLC) to provide the proper stewardship of research funds that satisfy both the sponsor and the Institute.
PARTNERSHIPS – OFFICE OF SPONSORED PROGRAMS

Teams at OSP:

Contract Administrators:
Each DLC is assigned a Grant/Contract Administrator

Contract Specialist:
Negotiate complex non-federally sponsored research agreements, such as, research consortia, master research agreements and complex agreements with industry.

Sub-Award:
Issues subawards to other institutions under MIT’s sponsored agreements, manages all subaward reporting, compliance and sub-organizational risk, responds to audits, and associated duties.
PARTNERSHIPS – OFFICE OF SPONSORED PROGRAMS

Teams at OSP (con’t):

POPS (Post Award Operations):
Maintain data in the KC grant and contract system for all aspects of post award administration, including, account set up, maintenance and feeds to SAP.

Cost Analysis:
Negotiates MIT’s F&A (overhead) and Employee Benefit (EB) rates with the Office of Naval Research, MIT’s cognizant government agency; Point of contact for all audits of MIT’s sponsored programs, providing cost analysis for the senior administration regarding the financial impact of new facilities and policy changes on MIT’s rates.
PARTNERSHIPS – VICE PRESIDENT FOR FINANCE

• VPF works to advance MIT’s mission by supporting thoughtful stewardship and effective deployment of the Institute’s financial resources.

• An administrative unit of the Office of the Executive Vice President and Treasurer, who oversees the operations needed to pay MIT’s employees and enable them to purchase goods and services that support world-class education and research.

• We strive to create a seamless administrative experience for the MIT community, and make it easier for you to comply with grant, accounting and other applicable rules.

• We gladly partner with you to help solve problems, fulfill your training needs, and always welcome your feedback.
PARTNERSHIPS - 
VICE PRESIDENT FOR FINANCE

Teams at VPF:

Sponsored Accounting:
Monthly sponsor billing, collects sponsored funds due to MIT, reviews & approves sponsored journal vouchers, performs sponsored award closeouts.

Property Office:
Tracks all MIT property/equipment (from purchase through disposal), creates and closes fabricated equipment accounts, helps DLCs manage equipment & furniture inventory, prepares financial reports for internal use and in compliance with government and industry sponsors.

HR/Payroll:
Pay people, ensure forms are completed as required (I-9s, tax withholding, direct deposit), provides help and guidance on sponsored research vacation tracking, assists DLCs with salary distribution requirements and compliance, follow-up with DLCs on clearing payroll suspense cost objects.
PARTNERSHIPS – VICE PRESIDENT FOR FINANCE

Teams at VPF (con’t):

**Travel:**
Processes travel expense reports, oversees the Institute’s travel card program, provides guidance and resources to ensure your MIT trip is safe, productive, and in compliance with applicable regulations.

**Procurement:**
Issues purchase orders, reviews selection of source forms, oversees the Institute’s P-card program, helps you purchase the goods and services you need and provides guidance along the way.

**Accounts Payable:** Processes invoices, requests for reimbursement, human subject payments, wire payments, supplier setup, provides assistance and resources in the receipt and payment of goods and services.
Funding Lifecycle

- Idea and Planning
- Find Funding Opportunity
- Compile Application – Apply to Sponsor
- Sponsor and/or Peer Review
- Award Notification
- Funding Received
- Managing Funds
- Closeout
THE LIFECYCLE OF AN AWARD

Proposal Preparation

- PI, DLC

PI and DLC are responsible for the overall development and content of the proposal:
- Principal Investigator (PI) locates funding opportunities, reviews sponsor requirements, develops scope of work, completes PI certification
- DLC Admins work with the PI, prepare the budget, collect other admin documents and prepare proposal in KC
- TLO performs Background IP review and checks on IPIA completion

Proposal Routing & Approval

- PI, DLC, Dept. Heads, Deans Offices, Foundation Relations, OSP CAS and Liaisons

DLC manages the KC routing and review of the proposal internally, and submission to OSP:
- DLC works with PI to obtain 5-day deadline waiver from Dean if required; Dean reviews requests for waivers
- Dept Head/Deans office reviews, advises and approves proposals; assures PI status, space and other resource commitments are met

Proposal Submission to Sponsor

- OSP CAS, OSP Liaisons, PI and DLC

OSP reviews, advises, provides institutional endorsement, and submits electronic proposals:
- Reviews proposals, budgets, and supporting documentation for compliance with sponsor solicitation, sponsor and MIT policies
- PI and DLC submit OSP approved proposals unless system to system (e.g. NSPIRES, Proposal central, etc.)
- ORF in maintaining relationships with 150+ private foundations, may be involved in submission once OSP approves in KC

Award Review, Negotiation, Hold Resolution & Account Setup

- OSP CAS & Contract Specialists, POPs, TLC, PI, DLC

OSP has lead responsibility in the review, negotiation, and setup of awards:
- Reviews award terms
- Proposes alternate terms and negotiates with sponsor as needed
- Creates account in KC
- PI and DLC are responsible for resolving Holds on the account for COI, Export Control, Animal & Human Subjects
- TLO is involved in IP term discussions, Revenue sharing (if Foundation), open access and obligations to others
- ORF generally plays a supporting role with Foundation awards, but may be actively involved in related contracts w/ Foundation

Award Monitoring

- PI, DLC, OSP Sub Team, OSP CAS, VPF

PI, DLC, OSP and VPF are responsible for ensuring terms and conditions are met throughout the life of an award:
- Monitor changes to program, equipment thresholds, key personnel
- Manage salary costs, monitor project budgets, monthly reconciliation and review
- PI is responsible for technical and fiscal reports

Award Closeout

- PI, DLC, VPF Sponsored Accounting, VPF, Property Office, OSP, POPs Team, OSP Sub Team, TLC

At the end of the award period, when no additional time or funding is required, the award will be terminated:
- PI and DLC complete required reports
- VPF performs closeout analysis and sends audit report to DLC and final report to the sponsor
- OSP Sub Team works with DLC on closeout of subawards
- TLO is involved in Technology disclosures, patents files/issued, copyright/software and IP alliance mgmt
Proposal Preparation

PI (Principal Investigator):
- Finds a funding opportunity, review for requirements.
- Develops a statement of work.
- Completes certification in KC.
  - Note, Office of Foundation Relations (OFR) can also help identify foundation prospects

DLC Administration:
- Reads funding opportunity for key dates and requirements.
- Compiles documents needed for the application with the PI; Prepares a budget.
- Reach out to your OSP Contract Administrator (CA) with questions about the application.
Proposal Preparation

Foundation Relations:
Reach out if submitting to a Foundation (i.e., Gates Foundation, American Cancer Society, Simons Foundation, etc.).

TLO:
Contact for advice if there are any intellectual property or licensing issues.

KC (Kuali Coeus): DLC assembles and submits the proposal to route for approval.

OSP Checklist

CAs maintain proposal checklists used during proposal review. Use these checklists to ensure your proposal is ready for submission. Go to osp.mit.edu and search for “proposal checklist”
Proposal Routing and Approval

Each Unit has a KC routing map of assigned **Approvers** at the DLC and Dean’s Office level. Proposals need OSP CA and Liaison review and approval for submission to sponsor.

**DLC Head & Deans Offices:**
Reviews, advises and approves proposals; Assures **PI status, space** and other resource commitments, including **Cost Sharing** and **Underrecovery**.

To ensure that proposals are validated and submitted to the sponsor with no errors by the proposal deadline, the complete proposal (no draft versions) must be received by OSP five business days prior to the deadline or PI must obtain waiver from Dean.
Proposal Routing and Approval

OSP reviews, advises, provides institutional endorsement and submits electronic proposals.

**OSP Contract Administrators:**
Review proposals, budgets and supporting documentation for compliance with sponsor solicitation, sponsor and MIT policies. Note, with foundation sponsors, will call upon OFR staff to review proposals to foundations.
OSP submits to sponsor if the application is a ‘system-to-system’ (S2S) submission or if required by the sponsor. This includes Federal Agencies (i.e., NIH, NSF, DoD).

OSP approves and signs documents for applications that can be submitted by the DLC (examples: ProposalCentral applications; subaward transmittal letters).

If MIT is a subaward on another institute’s proposal, OSP provides a transmittal letter which is then submitted by the DLC.
If award requires negotiation, a **Contract Specialist (CS)** may be consulted to review and negotiate terms of the award.

Once we have agreed upon funding instrument (i.e., grant, signed contract, foundation agreement) an account will be set up. The **POPS** sets up the award.

### Terms & Conditions
- Period of performance
- Award amount
- Payment
- Budget restrictions / prior approvals
- Personnel
- Reporting
- Title
- Intellectual Property (IP)
Before spending can begin, all compliance issues must be cleared – or the award will remain in **hold** status. Such issues are:

- **Financial Conflict of Interest Disclosure**
- **Animal approval**
- **Human Subjects Approval**
- **Back Ground Intellectual Property review (TLO)**

If the award has a subaward, the DLC will engage the **Sub-Award team** at OSP to send out an agreement.

**Resolve Holds**

PI & DLC are responsible for resolving **HOLDs** on the account for COI, Export Control, Animal & Human Subjects with the relevant MIT offices.
Terms & Conditions (T&C) of an award:

- We are all responsible for ensuring the T&C of an award are met throughout the life of an award.
- DLC administrators should familiarize themselves with the T&C for each of award in KC. Reach out to your OSP CA if you need clarification *(sooner rather than later).*

Areas involved = PI, DLC, OSP CAs & Subs Teams, VPF
Award Monitoring

Important for DLC Administrators:

- Identify & communicate any changes to sponsored awards to your OSP CA (i.e., key personnel, equipment thresholds, rebudgeting between line items).
- Manage salary costs, monitor project budgets & line items, and perform a monthly financial review.
- Do not commingle funds.
- Help your PI by knowing what reports are due and when. PIs are responsible for technical reports, and on occasion non-federal “interim” fiscal reports to the sponsor.
- Request **No Cost Extensions** (when appropriate) long before the award end date.
**Award Monitoring**

- Efficient processing and posting of expenses helps everyone:
  - Allows you and your PI to have an accurate and detailed accounting of expenses to date in SAP.
  - Makes Financial Review & Control (FRC) process more effective.
  - Sponsors can be billed in a timely and accurate manner.
  - Enables a smoother sponsored award closeout process for you, VPF, and OSP.

- Monitoring Tools
  - Pre-Closeout Notice Automated Email (sent the 10\(^{th}\) of each month).
  - View your accounts that are closing within the next 90 days at [http://vpf.mit.edu/static/wbs](http://vpf.mit.edu/static/wbs).
Good closeouts come from good monitoring 😊

- **VPF-Sponsored Accounting** performs a closeout analysis to ensure allowability and allocability of charges. They reach out to DLCs within 30 days after the award end date to detail their findings and any action needed by the DLC (i.e., remove unallowable costs or post term charges, close open POs, record project overrun).

- DLCs can initiate the closeout process sooner by emailing wbscloseout@mit.edu.

- **OSP SubAwards** team works with DLC on closeout of subawards.

- **VPF-Property and Sponsored Accounting** work together with DLCs to close fabricated equipment cost objects.
Final reports are due to the sponsor no later than 90 calendar days after the end date.

When we are a sub, we only have 60 days to close out the award and submit all reports.

Four Common Reports:

- **Fiscal Report** – VPF Sponsored Accounting
- **Technical Report** - Principal Investigator
- **Property Report** – VPF Property Office
- **Intellectual Property Report** – OSP, with help from PI & TLO
Foundations often work in very mysterious ways
PARTNERSHIPS - OFFICE OF FOUNDATION RELATIONS
PARTNERSHIPS - OFFICE OF FOUNDATION RELATIONS

Mission Statement

• Identify, cultivate, and engage private foundations in order to optimize philanthropic giving to MIT from this sector

• Identify foundation opportunities aligned with Institute priorities across the entire campus

• Develop strategies for successful approaches
Our work involves the following:

- Developing and managing relationships with a broad range of foundations
- Being aware of and sharing information about relevant foundation opportunities
- Working with senior leadership, faculty, and administrators to develop and implement strategies for securing foundation support
- Connecting foundation opportunities with MIT faculty, projects, and initiatives
- Staying abreast of trends in the field
Principles of Design Thinking
PARTNERSHIPS - OFFICE OF FOUNDATION RELATIONS

Ideas

Interests

Relationships
In the spirit of MIT’s mission to advance knowledge, the TLO moves innovations and discoveries from the lab to the marketplace for the benefit of the public and to amplify MIT’s global impact. We cultivate an inclusive environment of scientific and entrepreneurial excellence and bridge connections from MIT’s research community to industry and startups by strategically evaluating, protecting, and licensing technology.
PARTNERSHIPS – TECHNOLOGY LICENSING OFFICE

Technology Transfer Lifecycle FY2018

- $1.7B Research Expenditures
- 822 Invention Disclosures
- 32 Startups Formed
- 360 U.S. Patents issued
- 425 New U.S. Patent Applications Filed
- 154 Licenses & Options Executed

Every year university research yields discoveries with commercial potential.

Technology transfer professionals manage the complex process of shepherding ideas from the lab to the marketplace—from evaluating and protecting discoveries to commercializing the inventions through new and existing companies.

For more information visit http://tlo.mit.edu
PARTNERSHIPS – TECHNOLOGY LICENSING OFFICE

WHOM WE SERVE

- Any individual employed at MIT, or who participates in a sponsored research project, or who uses MIT-administered funds or facilities

IP-RELATED MIT POLICIES

- Ownership of inventions (may involve government policy)
- Sharing of royalties
- Freedom of research and publication
- Conflict of interest policies

LICENSED PHILOSOPHY

Our primary objective is the broad use of the invention in society, therefore we:

- Seek patent protection:
  - Companies are reluctant to invest in developing a product that can be easily copied without protection
- License the patent rights:
  - Exclusively or non-exclusively as appropriate
  - “Field of Use” licensing as appropriate
- License terms:
  - Product development and sales milestones
  - Return unused fields or mandatory sublicensing
RA HUB

• General Website: http://research.mit.edu/mit-research-administration-hub

• For questions about the Lifecycle of Award, Research Administration, or if you are not sure where to bring your question, please contact the RA Support team at ra-help@mit.edu.

OSP


• Sponsor Information and Sponsor specific Checklists: https://osp.mit.edu/grant-and-contract-administration/sponsor-information

• Contract Administrator by DLC: https://osp.mit.edu/about-osp/staff/by-department
Resources

KC

• A variety of quick cards on how to use the KC system to prepare proposals, budgets, S2S (System to System) guides, Routing proposals and viewing Award information may be found on the KC website here: https://kc.mit.edu/quick-reference-cards

VPF

• VPF, Sponsored Accounting: https://vpf.mit.edu/sponsored-accounting
• VPF, Property Office: https://vpf.mit.edu/property-1
• VPR, HR/Payroll: https://vpf.mit.edu/payroll
• VPR, Travel: https://vpf.mit.edu/travel-planning-and-expensing
• VPF, B2P Contact Center (Buying & Paying): https://vpf.mit.edu/b2p-contact-center
Office of Foundation Relations

- General Website: [http://foundations.mit.edu/](http://foundations.mit.edu/)

Today’s presenter:
David Gordon, Senior Director
MIT Office of Foundation Relations
600 Memorial Drive, 1st Floor
Cambridge, MA 02139
Tel. 617 258-5538, Email [drgordon@mit.edu](mailto:drgordon@mit.edu)
TECHNOLOGY LICENSING OFFICE

- Massachusetts Institute of Technology
  255 Main Street
  Room NE18-501
  Cambridge, MA 02142-1601
  617-253-6966

- General Email Inbox: tlo@mit.edu (Response within 2-3 business days)
- Patent Email Inbox: tlo-atto@mit.edu (to be used by law firms and joint owners for patent correspondence)
- Questions regarding Disclosure Submissions: tlo-newcase@mit.edu
- Licensee Invoice Questions: tlo-invoice@mit.edu
- Law Firm Invoices: tlo-legalbills@mit.edu
- MIT Use of Name Questions: tlo-uon@mit.edu
- Trademark Questions: tlo-trademarks@mit.edu
- Invention and Proprietary Information Agreement (IPIA) Questions tlo-ipia@mit.edu
Questions ?