

## **CVM Pre-Award Information for Sponsored Funding; Grants, Cooperative Agreements, & Contracts**

*The CVM Grant Support Office within the Office of Research and Graduate Studies coordinates with CVM faculty and the OSU Office of Sponsored Programs (OSP) to help investigators and program directors submit, and in some cases, develop strategies to obtain external funding.*

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### **Types of Sponsored Program Awards:**

Legally, sponsored programs are liabilities of the university. They represent the consequence of a *bona fide* offer (your proposal) extended to and formally accepted by an outside entity (the sponsor). Sponsored program awards come in the form of grants, cooperative agreements, and contracts. All have legal terms that must be reviewed, and in some cases negotiated, then executed for OSU to accept the funds and enable you to conduct the work.

- **Grants** are a funding instrument through which the sponsor provides funds.
- **Cooperative Agreements** may have substantive mutual interaction between the sponsor and the award recipient.
- **Contracts** are the vehicle for procurement of sponsor specified services, and for our college typically span research, testing, and clinical trial services.

Please Note: Philanthropic gifts (donations) and consulting agreements are **NOT** covered by the Grant Support Office.

### **Types of Sponsors:**

- **Nonprofit**
  - Government (Federal, State, local)
  - Foundations
  - Other Nonprofits (universities; 501(c)(3) associations, societies, institutes, councils, centers, etc.)
- **For-profit**
  - Businesses & Industry
  - Please note that Federal prime awards such as SBIRs, STTRs, and IDIQs all fall under the for-profit category because our direct sponsor is a small business or company.
- **Intramural**
  - OSU internal opportunities
  - CVM (canine, equine, or other CVM internal opportunities)

Type of sponsor is most relevant to the direct sponsor, and not the prime sponsor. For example, submitting a subaward to another university who is negotiating an industry funded project is classified as nonprofit. Also, the SBIR/STTR funding mechanisms are considered industry because the direct sponsor is the business even though the money originates from the federal government (prime sponsor). Another example considered as industry is a grant from a foundation that is managed and awarded by a for-profit entity. We will help guide you through these distinctions.

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**FEDERAL & NONPROFIT SPONSORS**

(Jeff Workman.45 CVM; Kathy Renick.9 SPO)

**STEP 1:** Notify CVM Grant Support Office – timeline as soon as you know you want to apply (ASAP)

- Provide “funding opportunity” or “call for proposals” (e.g., NOFO, FOA, RFA, RFP, PA, BAA, solicitation, invite, etc.):
  - Provide Sponsor Name:
  - Provide Submission Deadline:
- Indicate if it is a subaward submission:
- When you are the prime applicant, indicate if it will include subaward(s):
- Indicate if it involves a veterinary clinical trial (BBVCTO):

**STEP 2:** Develop the pre-award budget – timeline at least **10 days prior** to submission deadline.

- Jeff will help to develop a detailed budget using an internal spreadsheet template in which data can be easily transferred to a specific sponsor’s required template/format. The internal spreadsheet data is crucial for OSU processes, review, and management if funded.
- If there are subaward(s), Jeff or PD/PI will reach out to subrecipient(s) with their budget amounts and the list of items needed. The deadline for receiving subaward materials should be at least one week prior to the sponsor’s submission deadline.
- If there is a veterinary clinical trial proposed, start with BBVCTO. (If a human clinical trial is proposed we will help you interface with COM.) BBVCTO has an online service request form located <https://vet.osu.edu/vmc/cto/investigator-support>
  - BBVCTO will support you to develop the clinical trial budget.
  - Jeff will verify personnel salary effort and the F&A, and if necessary, incorporate into an overall budget (e.g., federal budget format for SBIR/STTR, nonprofits who require a specific budget template, etc.).

**STEP 3:** Submission of Authorization to Seek Off-Campus Funding (PA-005) – timeline at least **7 days prior** to submission.

- Work with Jeff to determine allocations, routing orgs, compliance areas, etc.
- Jeff should route the PA-005 for approvals with internal budget spreadsheet attached and may include statement/scope of work or summary.

**STEP 4:** PI continues to work on and finalize grant writing, preparation of documents/materials, etc. Please note: this step begins much earlier in the process.

**STEP 5:** Actual submission process and timeline varies substantially by sponsor, sponsor type, grant or contract, prime or subaward, etc.

- Jeff will assist with review/consultation, coordinating with OSP, and assembling/uploading/submitting the proposal. The SPO has final review and ultimately must sign off and submit the proposal as an authorized university representative (AOR).
- Typical process for subaward: Jeff will assist with assembling materials. Once finalized, the SPO will send an email message on behalf of the PD/PI which includes all requested documents and the signed letter of intent to the lead institution who will subsequently submit their full proposal to the prime sponsor.

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**BUSINESS AND INDUSTRY SPONSORS**

**(Includes: research, testing or clinical trial services, student support/scholarships, SBIR, STTR, IDIQ, and other industry led needs)**

(Jean Schelhorn.<sup>1</sup> & Jeff Workman.<sup>45</sup> CVM; Michael Adkins.<sup>121</sup> (Interim SPO)

**STEP 1:** Notify Jean Schelhorn in CVM Grant Support Office – timeline **as soon as you have been contacted**. In some cases, the company may contact Jean directly and she will seek your interest to serve as a PD/PI.

- Provide Name of Company and contact information so Jean can connect with the company and communicate steps we will walk through and to also qualify the company (to assure they expect to provide funds).
- Provide Timeline/Deadline.
- Provide background on discussions to date and any relevant documents.
- Provide scope of work if you have it or we can develop that as part of the work for which we receive compensation.
- Indicate if it involves a clinical trial (BBVCTO for animals).

**STEP 2:** Statement / Scope of Work. The sponsor may offer a SOW, or you may be asked to do this step. Either way the SOW must be in place and agreed to by both parties and a pre-award quote that aligns with the SOW must be prepared and approved by the sponsor.

- Always start with Jean/Jeff before discussing any financial details or quote with the sponsor.
  - Jeff will help you develop an itemized internal budget using an internal spreadsheet template for OSU internal purposes which will provide data for the initial quote/estimate. The quote provides the total cost with salary, fringe benefits, and F&A embedded, but those details are not provided to the potential sponsor. In some cases, we will offer a rough order of magnitude (ROM) quote early to see if we are in the ballpark of funding the sponsor can cover.
- If this is focused on a clinical trial, contact BBVCTO for budget and other guidance. BBVCTO has an online service request form located at <https://vet.osu.edu/vmc/cto/investigator-support>
  - BBVCTO will develop the clinical trial budget.
  - Jeff will verify personnel and F&A portions of the overall internal budget.
  - This will be factored into the quote which may have other elements included.
- Jean or the SPO will provide the quote to the sponsor and help with negotiations if needed regarding aligning quote with new scope of work, total amount, phasing if needed, IP terms, MTAs, CDAs, etc.

**STEP 3:** Development of Contract/Agreement – Small companies typically seeks our agreement template for consideration once it looks like we can conduct the work they are seeking; larger companies may offer their agreement template as a starting point for development of a binding agreement or contract to cover the anticipated services.

- Industry sponsored research, testing services, and clinical trial agreements are negotiated and executed by our SPO, and Jean supports these efforts as they are rarely standard. Each company has their specific needs. Your role in this is to answer questions that may come up, get your university required approvals in place (e.g., IACUC, IRB, etc.), and finalize the SOW and any outstanding quote details.

**STEP 4:** Submission of Authorization to Seek Off-Campus Funding (PA-005) – timeline at least **7 days prior** to submission

- Work will Jeff to determine allocations, routing orgs, compliance areas, etc.

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- Jeff will route PA-005 for approvals with internal budget spreadsheet attached and may include statement/scope of work or summary.

**STEP 5:** Actual negotiation and execution process and timeline varies substantially by sponsor, sponsor size, etc. The award will have specific deliverables or milestones that you will be responsible to provide on budget and on time. **Please**

**Note:** To accept the award at the OSU your IACUC need to be approved.

**CVM INTRAMURAL FUNDS**  
(Ivana Grozdic.3 CVM)

The primary purpose of intramural funding is to support the work and collection of preliminary data which will contribute to the strength and competitiveness of future extramural proposals.

The specific requirements and Funding Calendar (Deadlines) can be found at: <https://vet.osu.edu/research/grant-support/intramural-funding>

<b>Type of Funding</b>	<b>Deadline for Proposals</b>
C. Glen Barber Funds	May 1 <sup>st</sup>
Canine Funds	May 15 <sup>th</sup> and October 15 <sup>th</sup>
Equine Funds	March 15 <sup>th</sup> and September 15 <sup>th</sup>
Feline Funds*	May 1 <sup>st</sup> - *pending availability of funds*
Mark L. Morris Clinical Research Nutrition Fund	May 1 <sup>st</sup>
Paladin Funds	May 15 <sup>th</sup> and October 15 <sup>th</sup>
USDA NIFA Animal Health and Disease Research (AHDR) Program – capacity funds (formerly referred to as formula funds)	April 15 <sup>th</sup> - *pending notification from NIFA*

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**SUBAWARDS**

Subawards are also referred to as subcontracts or consortium agreements. The sponsor makes an award to a single prime recipient. The prime recipient must have a substantive role in the conduct of the planned work and is not merely a conduit of funds to another party or parties. The relationship between the prime recipient (pass-through entity) and any collaborating organizations (subrecipients) is considered a subaward relationship. Furthermore, the prime recipient (also referred to as prime applicant) is the one submitting the full proposal to the prime sponsor. Subrecipient(s) provide items to the prime recipient (direct sponsor) to incorporate into their full proposal.

**When OSU is the prime recipient (pass-through entity):**

We request the documents listed below from each subrecipient as part of the standard subaward package. **The deadline for receiving subaward materials should be at least 1-week prior to the sponsor's submission deadline.**

**When OSU is the subrecipient:**

The direct sponsor may provide their own standard subrecipient intent/commitment form, or we may use our OSU LOI form (or have our SPO write a letter of intent on letterhead). **Typically, the Grants & Contracts Specialist will help the PI compile these items and then send them to the SPO to review, sign, and submit to our direct sponsor.** The Grants & Contracts Specialist will also route the PA-005 for approvals.

**Required Materials According to Prime Sponsor**

The mandatory items for any subaward regardless of type of prime or direct sponsor include: 1) Statement/Letter of Intent/Commitment signed by an Authorized Official; 2) Budget (costs must be clearly described when there isn't a separate budget justification/narrative); and 3) Scope of Work. Depending on the prime sponsor, additional materials (in addition to the examples shown below) may be required or desired such as: letters of support, letters of collaboration, representations & certifications, or compliance documents (IACUC, IRB, etc.).

**Materials Needed for Subaward (prime sponsor: NIH):**

1. Signed Subrecipient LOI form (attached)
2. Biosketch for all Key Personnel (NIH template)
3. Budget (R&R Budget form or spreadsheet)
4. Budget Justification
5. Statement of Work
6. Facilities & Other Resources
7. Equipment

**Materials Needed for Subaward (prime sponsor: NSF):**

1. Signed Subrecipient LOI form (attached)
2. Biosketch for all Key Personnel (SciENCv required)
3. Budget (R&R Budget form or spreadsheet)
4. Budget Justification

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5. Statement of Work
6. Facilities, Equipment & Other Resources
7. Current & Pending Support for all Key Personnel (SciENCv required)
8. Collaborators and Other Affiliations for all Key Personnel (NSF COA template)
9. Synergistic Activities for all Key Personnel

**Materials Needed for Subaward (prime sponsor: DOD):**

1. Signed Subrecipient LOI form (attached)
2. Biosketch for all Key Personnel (DOD suggested template available)
3. Budget (R&R Budget form or spreadsheet)
4. Budget Justification
5. Statement of Work (DOD suggested template available)
6. Previous/Current/Pending Support for all Key Personnel (DOD suggested template available)

**Materials Needed for Subaward (prime sponsor: NIFA):**

1. Signed Subrecipient LOI form (attached)
2. Biosketch for all Key Personnel (no required template)
3. Budget (R&R Budget form or spreadsheet)
4. Budget Justification
5. Statement of Work
6. Facilities & Other Resources
7. Equipment
8. Current & Pending Support for all Key Personnel (NIFA template)
9. Conflict of Interest List for all Key Personnel (NIFA template)

**Materials Needed for Subaward (prime sponsor: APHIS):**

1. Signed Subrecipient LOI form (attached)
2. Budget (APHIS FINANCIAL PLAN spreadsheet template)
3. Statement of Work (to be incorporated into APHIS WORK PLAN template)
4. Negotiated Indirect Cost Rate Agreement (NICRA)

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**CONTACT INFORMATION**

CVM Contacts:

- *CVM Office of Research & Graduate Studies - Grant Support Office*  
Jeffrey D. Workman, PhD  
Sr Grants & Contracts Specialist  
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Director of Commercialization, Director of Industry Collaborations  
614-292-2462  
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- *For questions regarding CVM intramural grants:*  
Ivana Grozdic  
127L VMAB, 1900 Coffey Road, Columbus OH 43210-1006  
614-292-7637  
[grozdic.3@osu.edu](mailto:grozdic.3@osu.edu)
- *Blue Buffalo Veterinary Clinical Trials Office (BBVCTO)*  
Baylie Schwamberger  
Veterinary Medical Center, 601 Vernon L Tharp Street, Columbus OH 43210-4007  
614-688-0849  
[CVM-ClinicalTrials@osu.edu](mailto:CVM-ClinicalTrials@osu.edu)

OSU Office of Sponsored Programs (OSP) Contacts:

- *Federal & Nonprofit Sponsors*  
Katherine Renick, MS, CRA  
Sr Sponsored Program Officer  
Health Sciences Office  
1050 Carmack Road, Columbus OH 43210-1002  
614-688-2843  
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- *Business & Industry Sponsors*  
Michael Adkins, CRA  
Sponsored Programs Associate Manager (Interim SPO for CVM)  
Office for Business and Industry Contracts (OBIC)  
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*updated 10/2024*