Community Partner's Guide

for pre- and post-award grants management when conducting community engaged research

Community Academic Grants Administration Translation (CAGAT) Initiative

This guide is designed for community partners planning to work with researchers at The University of North Carolina at Chapel Hill who are interested in gaining a greater understanding of, and information about, the grant submission and management process when conducting federally funded community-engaged research.

v.20160722

NIH-UL1TR001111

CAGAT Guide for Community Partners

This guide was developed by members of the Partner Package Team* of the North Carolina Translational and Clinical Sciences (NC TraCS) Institute Community Academic Resources for Engaged Scholarship (CARES).

Lori Carter-Edwards

Zoe Enga

Elizabeth Millar

Kimberlee Hyman

Chanetta Washington

Elisa Quarles

Madeline Mitchell

Christina Yongue

Melvin Dubose

Renee Lea-Currie

Melissa Green

Alan Richmond

Citation for this publication

Carter-Edwards L, Enga Z, Millar E, Hyman K, Washington C, Quarles, E, Mitchell CM, Hardy, CY, Dubose M, Lea-Currie R, Green, MA, Richmond A. Community Academic Grants Administration Translation (CAGAT) Initiative: community partner's guide for pre- and post-award grants management when conducting community-engaged research. The North Carolina Translational and Clinical Sciences (NC TraCS) Institute; University of North Carolina at Chapel Hill, Chapel Hill, NC; 2016.

This project was supported by the National Center for Advancing Translational Sciences (NCATS), National Institutes of Health, through Grant Award Number UL1TR001111. The content is solely the responsibility of the authors and does not necessarily represent the official views of the NIH.

*The Partner Package Team represents members of a community engagement workgroup that was convened to generate discussion and ideas to support and align relevant metrics for high-impact outcomes within CARES.[1]

One recommendation was the development of a partner package for community members — a toolkit with information on the necessary elements needed to be a partner in a community-engaged research study.

The Partner Package Team was established to develop the toolkit, which will be a compilation of a series of tools, including this guide on grants management.

TABLE OF CONTENTS

CAGAT Community Partner's Quick Start Guide

Before Getting Started

Community engaged research involves partnership-building between community members and academic researchers so that they are better able to communicate about multiple aspects of research.

One area that is often not fully discussed by both partners before collaborating on a research project is the business side of how to work with an academic institution.

The ***Community Partners' Guide*** is intended to help community members navigate some of the business processes associated with community engaged research.

The Community Partner's Guide

What is it?

This guide is a document intended to help community members prepare for the pre-award and post-award grants management process when working with an academic researcher.

The guide was developed by the Community-Academic Grants Administration Translation (CAGAT) Initiative, a collaborative partnership between the North Carolina Translational and Clinical Sciences (NC TraCS) Institute, the Office of Sponsored Research (OSR) at the University of North Carolina at Chapel Hill, and community experts.

Who is it for?

Any community member who works with academic researchers, including those in leadership roles at community-based organizations, faith-based organizations, health-related organizations (e.g. health care practices, health departments, health-related non-profits, hospitals, practice-based research networks, etc.) and other organizations who are interested in community-engaged research.

Why should I use it?

This guide is intended for community partners seeking to:

- Increase knowledge of the pre- and post-award grants management process for conducting community engaged research
- Improve skills in completing key procedures for submitting and managing grants that involve your community organization and/or staff members as community consultants or subcontractors
- Increase skills in communicating key procedures for submitting and managing grants to the appropriate agency along with an academic partner

How does the guide work?

The guide provides an overview of important components in the grants management process for your collaborative team, which includes community and academic partners, your organization's finance manager, and University business office staff.

It is a reference tool that community partners can use to help navigate through procedures that are either recommended or must be followed when conducting community engaged research.

CARES Metrics Workgroup

What's in the Guide?

(L to R) Lori Carter-Edwards with Christina Yongue and Nora Jones from ACCURE

Grants Management Partnership Phases

Partnership Connection

- Spend time on relationship building early (p. 21)
- Work on a small project together before writing a grant

Grant Preparation

- Work with your academic partner on grant preparation timelines (p. 22)
- Consider your organization's financial capacity, staff time commitment, and training needed
- Develop a communication plan with primary and backup contacts
- Be mindful of the application timeline....your documents are due earlier

Grant Implementation

- Hold kickoff meetings with academic partners and University business office staff to discuss financial and grants management policies and procedures, and timelines (p. 34)
- Set-up internal accounting systems for regular financial reporting to the University and funders (p. 36)

Reporting

- With your academic partner, establish reporting timelines to meet funder and University requirements (p. 36)
- May include monthly fiscal reports, annual research reports, etc.

Need help?

For questions or clarification on grants management issues that are uniquely specific to your proposal or grant application, please refer to UNC's OSR's website: **research.unc.edu/offices/sponsored-research**

- After first discussing questions with your academic partner, you can also contact your academic partner's business office for further clarification. Your academic partner(s) should always be included in communications with the department's business office.
- ***Note***: This guide will not answer all questions that a community organization may encounter in the research process, since different types of community partnerships may have different requirements or concerns. It is also not a substitute for any additional guidelines put forth by the academic department, center, or OSR that your academic partner is affiliated with, or internal guidelines from your own organization.

Background

Emerging Importance of Community Engaged Research

Community engagement is defined as the "process of working collaboratively with and through groups of people affiliated by geographic proximity, special interest, or similar situations to address issues affecting the well-being of those people".[2] This includes conducting community engaged research.

While this type of research is not new, there is an increased emphasis on community partners becoming actively involved in collaborative research partnerships with academic investigators to ensure that the research results or outcomes are meaningful to the community.

There remains a great need to improve health outcomes and social determinants that impact health, particularly among communities that are most affected by health issues.[3] Promoting the participation and engagement of communities in research is essential to effectively addressing access to health services and social and environmental issues that affect health[4,5,6].

For community partners that are interested in partnering with academic investigators to conduct meaningful health research, understanding the basic requirements and processes for working with an academic institution early on can help with decision-making and preparation. These include:

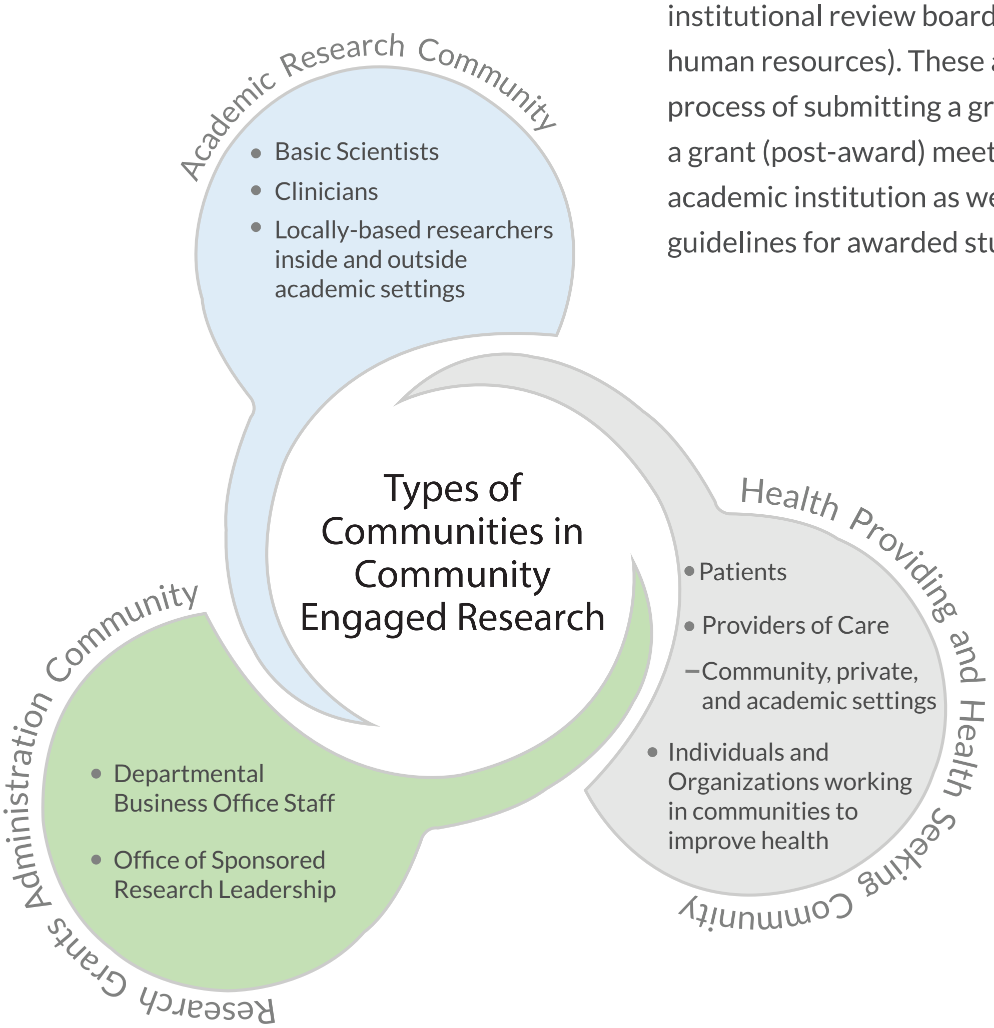
- Knowledge of the principles of engaged research
- Understanding of basic research methods
- Familiarity with fiscal and administrative requirements of research
- Being open to shared decision-making with research partners
- Committing and willing to dedicate staff time and energy to research
- Having an organizational infrastructure to manage the fiscal and administrative requirements of research

National Recommendations for Conducting Community-Engaged Research

While most community-engaged research to improve health has been conducted by academic researchers in public health working with other individuals and organizations, the Institutes of Medicine (IOM) defines community as being much broader, including patients, family members, health care providers, community organizations and groups, industry, and other stakeholders, as well as academic researchers who may be basic scientists, clinicians, or researchers working within (or outside) the academic setting (see Figure 1).[7] The American Academy of Medical Colleges (AAMC) includes the research administration community as an important stakeholder in academic medical centers.[8]

Likewise, when it comes to conducting community-engaged research, the academic community also includes the research ***grants administration community*** (business offices and sponsored research offices) and other important affiliates within the research administration community (i.e., institutional review boards, conflict of interest offices, and human resources). These affiliates help ensure that the process of submitting a grant (pre-award) and managing a grant (post-award) meets the necessary criteria for the academic institution as well as compliance with the federal guidelines for awarded studies.

Figure 1. Types of communities in community engaged research



These three types of communities — the health providing and health seeking community, research community, and research administration community — drive the successful implementation of a community-engaged research project.

Partnership in the Pre- and Post-Award Grants Administration Process

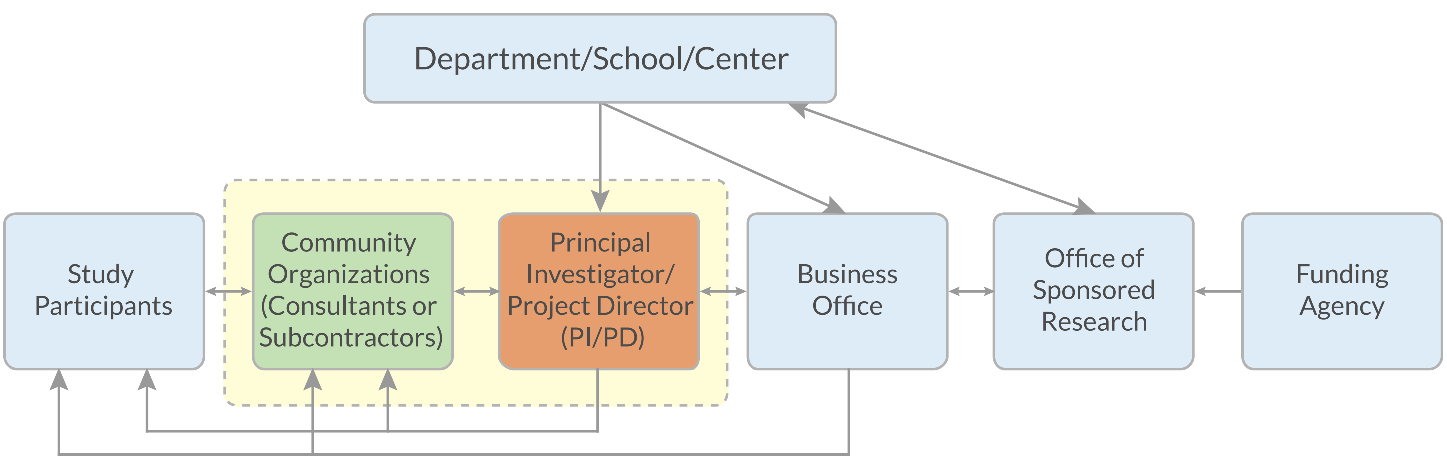
Conducting the science is the foundation of the research process. The pre- and post-award grant administrative support provided to the academic researchers, specifically the principal investigator (PI), is also critical to successfully executing the research (see Figure 2).

In terms of community-engaged research, PIs or research project staff, who may not be fully familiar with the key procedures and policies university business offices and sponsored research offices must follow, request that the community partners assisting in conducting the research follow required procedures and provide information, including the fiduciary component, to support the application process.

Business offices often provide support to investigators and research staff with varying levels of knowledge of the process. Lack of common awareness of fundamental processes and actions across all partners in grants management can be time consuming, lead to confusion and delays in conducting the research, and ultimately impact the relationship with the community partners.

In a busy work environment, all partners — from the community partner to the office of sponsored research or sponsored programs — have multiple

Figure 2. Stakeholder relationships in community engaged research



responsibilities and obligations. Equipping community partners and academic researchers with information needed to improve knowledge and communication about the pre- and post-award processes and requirements is just one step that may lead to a more productive, sustainable relationships needed to conduct sound research.

Improving the grants management process requires an understanding of the connections between different members of the community-academic research team and how they may interact:

- Community organizations often have ties to specific communities and are important gatekeepers and relationship builders with community members, who may choose to participate in research projects.
- The research team consists of the community organization, the PI, and their respective staff.
- The PI is usually a researcher at a university who works within a certain school, research center, or department.
- The PI's center or department has a business office that the PIs and community partners interact with to submit forms related to subcontracting and reimbursement.
- The University business office is accountable to the university's Office of Sponsored Research (OSR).
- The OSR ensures that the university is in compliance with requirements for federal grants that come from the federal government's Office of Management and Budget.

Purpose of this Guide

The community partner's guide was developed by a collaborative partnership between the North Carolina Translational and Clinical Sciences (NC TraCS) Institute, the OSR at the University of North Carolina at Chapel Hill, and community experts. It is designed for community members to prepare for the pre-award and post-award grants management process when working with an academic researcher. This includes:

- Community partners who have had some experience working with the University before as consultants or subcontractors on research projects, and
- New community partners — who have basic knowledge of accounting practices and the capacity to manage their internal finances — who are interested in partnering with the University on research projects.

For the purposes of this guide, ***community members*** include those in leadership roles at community-based organizations, faith-based organizations, health-related organizations (e.g., health care practices, health departments, health-related non-profits, hospitals, practice-based research networks, etc.) and other non-academic organizations who are interested in community-engaged research. It is intended to help:

- Increase knowledge of the pre- and post-award grants management process for conducting community-engaged research
- Improve skills in completing key procedures for submitting and managing grants that involve your community organization and/or staff members as community consultants or subcontractors
- Increase skills in communicating key procedures for submitting and managing grants to the appropriate agency along with an academic partner

A complementary guide, the ***Community Academic Grants Administration Translation (CAGAT) Guide for Academic Researchers***, can be shared with your academic partner so they are better prepared to implement the grants management process with your organization.

What is CAGAT?

UNC's **C**ommunity-**A**cademic **G**rants **A**dministration **T**ranslation is an initiative started in 2012 designed to improve the grants management infrastructure for community-academic partnered research through the collaborative development and posting of guides, related webinars, and evaluation of their usefulness.

CAGAT serves as a resource for both investigators and community partners to improve communication and knowledge of University and federal policies and fiscal responsibilities — from the beginning of the application process to closing out a funded grant.

The CAGAT team has presented on community-academic partnered research to new investigators at a Principal Investigator Development Series co-sponsored by the UNC Center for Faculty Excellence, Office of the Vice Chancellor for Sponsored Research, and NC TraCS. The team hopes that this initiative will lead to collaborations across the CTSA consortium to improve grants management policies for partnered research.

How to Use This Guide

This guide provides an overview of important components in the grants management process for your collaborative team, which includes community and academic partners, your organization's finance manager, and university department's business office staff.

For questions or clarifications on grants management issues that are uniquely specific to your proposal or grant application, please refer to the OSR's website: **http://research.unc.edu/offices/sponsored-research**

After first discussing questions with your academic partner, you can also contact your academic partner's business office for further clarification. Your academic partner should always be included in communications with his or her business office.

This guide refers to many different acronyms and terms that are frequently used by academic partners and university business offices in the grants management process. Since these items can be overwhelming, a full list of acronyms and terms can be found in **Appendix D**.

This guide will not answer all questions that your community organization may encounter in the research process, since different types of community partnerships may have different requirements or concerns. It is also not a substitute for any additional guidelines put forth by the academic department, center, or OSR that your academic partner is affiliated with or internal guidelines from your own organization.

Some funding announcements or application requests may have even more specific guidelines that overrule the standard guidelines or policies. Also note that regulations and policies change over time. So it is important to ***remain agile and in frequent communication*** with your academic partner and affiliated business office.

Structure of the Guide

The overall structure of this guide includes two core sections:

The ***pre-award section*** covers:

- the preparation period prior to and including the submission of a grant proposal
- the review pending period while waiting to receive word from the funding agency about the status of a grant proposal

The ***post-award section*** covers:

- the period once the investigator receives the notice of award (NOA) from the funding agency
- the period of grant management for the duration of the grant
- the period when the grant is ending and close-out reports are to be completed

The examples provided throughout this guide primarily target federal sources of funding; however, many of the procedures will also be useful for community-engaged research through other funding sources (such as state sources of funding or foundations).

If your collaborative team is working on submitting a grant proposal, refer to the pre-award checklist **(Appendix A)** as a resource before co-developing one with your academic partner. The components in this guide seek to clarify steps of the pre-award process, including key federal requirements, so that your team can plan your submissions more efficiently. This guide also describes the type of information you need to provide early on to your academic partner and the university business office (e.g., biosketches, subcontractor paperwork, human subjects certification, Data Universal Numbering System (DUNS number), etc.).

It is recommended that you share necessary information early on with your academic partner, set aside enough time to prepare information to deliver to a university business office, and prepare members of your collaborative team to complete necessary trainings.

It is important that the collaborative team include members of your organization that have solid knowledge about the fiscal operations of the agency and are empowered to make key decisions as needed.

This guide includes:

- An ***introduction*** to what is community-based compared to community-engaged research to help community partners decide how to negotiate a level of community engagement that fits the needs of both partners
- Two ***case examples*** for preparing a submission if the partner is a community organization/faith-based organization, or a health-related organization outside of the academic setting (e.g., practice-based research network)
- ***Appendices*** with different resources for community partners such as sample biosketches, letters of support, and subcontractor forms
- Brief ***definitions of terms and a list of acronyms*** that may be helpful when working with your collaborative team
- A ***resource list*** that contains more detailed information on how to engage academic partners
- A ***list of federal and foundation funding sources*** from which The University of North Carolina at Chapel Hill has often received funding

If your collaborative team has received grant funding, it is recommended that you refer to the post-award checklist **(Appendix A)** so that you and your partners are prepared to follow key procedures for timeliness of funding and reimbursements for services provided (as much as possible).

While this guide is not exhaustive of all the different types of situations that can arise for managing the funding of a project, the case examples described will provide an overview of the fundamental elements needed for successful grants management, and tips and tools for how to successfully engage with your academic partner in the process.

Partner Package Workgroup members and CAGAT webinar presenters

Community Engagement and Research – An Overview

There are different ways in which investigators can engage community partners to conduct research studies that answer specific questions.

While there are common, fundamental principles in how to respect, build trust, and collaboratively work with community partners, the terms and concepts that describe these approaches to engagement are often used interchangeably without a clear understanding that the type of engagement may vary by study purpose, population, human and financial resources available, and/or the extent of the relationship between the community and the academic researcher. Often investigators and community partners are not aware that they may need to address community engagement differently based on these elements.

What is Community-Based Research?

Community-based research is the process of investigating a research topic which has practical relevance to a community. Basing research in a community provides context for health conditions and health outcomes. It allows for research that reflects the involvement of participants affected by the health condition of interest with the potential to produce results that are relevant to a community.

Community-based research is primarily ***conducted in*** rather than ***conducted with*** communities. Often led by academic researchers, this one-direction approach does not require a collaborative partnership with community organizations in planning or conducting the study, or in interpreting the results. In these cases, funding support to the community is often used solely to cover study participants' incentives with minimal or no involvement by community organizations in the allocation of study resources.

What is Community-Engaged Research (CEnR)?

CEnR describes a collaborative process between the researcher and the community partner which involves the community in one or more stages of the research process. This could include identifying and/or refining the study question, defining outcomes, having input on methods, creating a recruitment plan, participating in analysis, interpreting results, and assisting with dissemination. Its history is built on community organization and community building, coalition and partnerships, and community-based participatory research.[9,10]

CEnR strengthens the available body of research and is intended to improve the well-being of a community. By engaging with communities, researchers have the opportunity to build trust, and gain critical insight into research questions, design, and methods by working in and with underrepresented populations, thereby increasing current evidence of health-related issues.

Unlike community-based research, CEnR recognizes and incorporates the expertise of community members and emphasizes shared resources, shared authority, supportive relationships, and collaborative learning while embracing diversity. It is important to learn about a community's history, culture, economic and social conditions, political and power structures, norms and values, demographic trends, and experience with research. Partnering organizations receive funding for the expertise and resources they bring to the entire research process.

What is Community-Based Participatory Research (CBPR)?

CBPR is a type of community engagement which actively engages the community partner in all stages of the research process. At its core is a collective, shared focus on overcoming social and health inequities with community partners and academic researchers working together and "building on community strengths and priorities to apply research for the goals of social change."[11,12,13]

CBPR approaches research as an equitable partnership that involves expertise and contributions from community members, organization representatives, and researchers in each step along the way. This approach allows communities and organizations to be directly invested in the process. Successful CBPR may require skill- and capacity-building at the community level but has the advantages of incorporating community perspective and expertise about a topic of interest to both the community and the researcher. In grants management, community partners are transparently involved in the initial stages of the research idea, negotiations of the funding and its allocation, research implementation, and analysis and reports.

This model of research can provide immediate benefits from the results of research to the community. CBPR has the potential to lay a foundation for long term successful community-academic partnership.

> "*We learned that stakeholder input helped us better define our research questions and design. We identified new outcomes that would be important to assess, such as quality of life and health literacy. Additionally, we learned that each group brought a unique perspective to the process.*"
>
> NO CLOTS Staff Member

What is a Community-Academic Partnership?

A community-academic partnership describes collaboration between a community, faith-based, or practice-based partner and an academic researcher with the common aim of improving the health of the populations with which they work. Community can be defined by a health condition, by geography, and/or by a specific population.

Partnerships have the potential to increase and strengthen research knowledge bases while providing direct action and evidence-based, regional approaches to the community. Partnerships include joint planning, efficient allocation of resources, shared authority and benefits, sustainable community impact, and collaborative implementation and evaluation.

Grants Management – Pre-Award Period

What do you need to consider before partnering on a grant proposal?

Deciding to participate as a partner with an academic institution to secure funding for a research or service project is a big step. Funding agencies and the general public are seeking research that can produce more generalizable, efficient, and sustainable outcomes.

An essential issue is that the partnership arrangement facilitates the ability of a research project to build on an existing infrastructure (i.e., the project can be integrated within the community organization's operational structure). A number of key decisions need to be made if your organization seeks to be an effective partner in preparing a grant proposal.

Some questions your non-academic organizations (NAO) should consider are (also see **Tips and Things to Consider, p. 49**):

General Partnership Considerations

- Why is the NAO interested in doing this research? How will this partnership benefit the NAO and the constituency the NAO serves?
- Are university research administrators available to respond to questions as needed? Is there a single point of contact for grants administration questions by the NAO?
- Are all of the key stakeholders represented in the partnership? Is there a clear and equitable decision-making process in the partnership?

NAO Leadership Considerations

- Is there a streamlined process for decision-making and an efficient chain of communication at the NAO as the grant application is prepared? What activities or paperwork need director or board approval and what can be managed at an operations level?
- Does the NAO have the human resources necessary to dedicate to the timely development of the research content of the grant proposal (if an extremely short preparation time frame)?

NAO Fiscal Considerations

- Is the NAO in good fiscal standing and prepared to share significant information about the fiscal operations of the NAO in order to be a subcontractor in a community-academic partnership?
- Does the NAO have a designated staff person to focus specifically on fiscal issues?
- Will travel by the NAO be necessary? Where will travel funds come from in the pre-award period?
- Depending on the type of grant application and the funding agency, is everything in place to hire and pay employees or staff on the grant application? Is the NAO prepared to consider issues of withholdings, taxes, insurance, citizenship, and subcontractor reimbursement?

What is the grants administration pre-award period?

The ***pre-award process*** includes all the steps needed to get the grant proposal submitted to the funding agency. It also includes preparation of any documents requested by the funding agency after submission — before they fund an award.

This process begins with a Request for Proposal (RFP) (also sometimes referred to as a Request for Applications (RFA) or a Funding Opportunity Announcement (FOA)) from a funding agency that alerts organizations that it has monies available to offer to organizations to address a particular problem or reach a specific population.

The RFP needs to be reviewed thoroughly as it provides instructions and supplemental information about how the grant proposal needs to be prepared. The RFP provides specific guidance about what types of organizations are eligible to apply for the funds, qualifications of the PI, format of the grant proposal (page limits, margins, font size), submission date, submission route (electronic or mail), and due dates.

Figure 3. Grant Proposal Timeline

Academic institutions have specific offices and staff who work with researchers who want to submit grant proposals for funding. These staff follow a specific set of procedures and protocols for processing a grant proposal through the university based on the requirements of major funding agencies. These may vary among institutions and different departments.

Prepare to work closely with your academic partner to follow the grant administration protocol of the university. Most pre-award tasks involve gathering information that is required on grant applications or on materials that must pass through and be signed by a university departmental business office or the OSR.

University business offices may also have slightly different expectations or procedures. For instance, some business offices prefer that requests from all partners are communicated through the PI, while others are open to the community partner contacting them as long as the PI is included in the request.

The point is to be prepared to work with the staff members in these offices to prepare and submit the grant proposal. They are familiar with the language in the RFP and have contacts with funding agencies who can provide guidance and clarification when preparing the grant proposal.

The staff are especially vigilant about the format for grant applications. Too many pages or the use of old forms or appendices that do not conform to requirements may sidetrack a good grant application. Federal agencies report that the most common reason for not reviewing a grant application is failure to adhere to format requirements.

Why is the grants administration pre-award period so important?

The grant administration pre-award process stresses uniformity so that all potential grantees follow similar procedures. This ensures that grantees comply with the rules of funding agencies, especially Federal Government rules. If your organization is interested in partnering with academic institutions to secure funding, it is important that members of your organization invest time and resources to become familiar with the process.

An organization that can respond to expectations in a timely manner during the pre-award process helps to assure partners that they will be able to meet expectations during project implementation. Try to make decisions about participation when you are not rushed and responding to many deadlines.

One important purpose of the pre-award period is for pre-submission review of your application by the academic department/center business office and OSR to ensure that university, state, and federal policies have been followed. This review protects you and your academic partner and minimizes unanticipated problems if you receive an award.

The pre-submission review will often catch administrative-related errors or missing information in the application. Often, the first question asked is, "Did you follow the instructions?" It is a good idea to share information about your organization's internal review and decision-making process with your academic partner so they can factor in the time needed to receive approval from your organization.

For instance, you may need to obtain approval from your organization's executive director, business office, legal counsel, and board of directors or other governing body. Communicate closely with your partner about what would be a realistic timeframe for the academic and community review process.

What do I need to know about the pre-award application period?

The pre-award application period involves four phases:

1) Partnership connection –the identification and communication with academic partners with whom you wish to engage in conducting a research project. It is important that you form a good working relationship with a potential academic collaborator before you decide to work on a grant proposal together. Consider if there is a training event, in-service education, report, or educational materials that you might work on together that meets a community need and gives you time to build a relationship before the grant proposal. It is important to get to know your partner to be able to communicate effectively and build trust before you move forward.

2) Preparation – the procedures followed to prepare to submit a grant application. Once you plan to submit a grant application, the academic partner should alert the department business office

BOX A

Types of Business-Related Partnerships*

Consultant – A consultant is a community or health professional providing expertise to the project. The business relationship is with an individual and involves the cost of the person's time (without fringe and benefits) and can include travel expenses, but not other supplies.

Sub-Contractor – A sub-contractor is an individual or organization providing a specific service to the project. Costs cover personnel (including fringe and benefits), travel, and project supplies.

Sub-Recipient – A sub-recipient is an organization that is fully engaged as a partner in executing the research project. The organization rather than an individual has the fiscal relationship with the university. In addition to what is provided in a sub-contract, sub-recipients often receive indirect costs for use of their facilities.

Vendor – A vendor is a business that makes or provides a product or service that is used in research.

**The academic department's business office staff may need to help you and the PI determine the type(s) of business partnership(s) that your research project can accommodate.*
Resource:* **http://research.unc.edu/offices/sponsored-research/resources/research-toolkits/developing-submitting-proposals/data_res_osr_proposalbudget/

BOX B

Human Subjects Research Training

Human subjects research training is required of anyone who is directly involved with a research project's recruitment or data collection process.

Certification, which can be obtained through an online training and testing process, is necessary for a project to operate. The Institutional Review Board, often of the academic organization, monitors whether those working on a project have completed, current certification. All are required to have basic certification. However, depending on the research study, additional certifications may be needed.

Community partners *not certified* need to give themselves ample time to complete the training and quiz (basic certification is often 2-3 hours). Community partners may also choose to take the alternative community training that is a shortened process and is conducted by an academic researcher, often in a group setting.

Certification should be connected with the organization leading the research study, or your organization's affiliated institution that has an Institutional Review Board.

More information: **www.citiprogram.org**

so that the research administration staff in the business office and OSR can prepare to enter information that will be needed to successfully submit the application.

Preparation includes all necessary materials, trainings (e.g., human subjects research training), personnel, and facilities needed prior to submission.

In addition to the questions in the section above on ***what you need to consider before partnering on a grant proposal*** (p. 21), other steps that might be helpful during the preparation phase include:

1. Review the RFP and discuss the expectations of the proposal.
2. Review the information that will be requested from you as the community partner and when will it be needed.
   - Identify and discuss the conceptual framework for the proposal with the academic partner in advance of developing it.
   - During these preliminary conversations, all partners will gain clarity on their roles, responsibilities and contributing tasks.
3. Identify potential benefits for both partners.
4. If there is a specific flow chart, timeline, or other guidance about how the application will be processed, ask your academic partner for copies and discuss. If one does not exist, work with your academic partner to create a joint timeline of tasks and responsibilities.
   - Start from the submission date and list each step that will be required, working backwards. For instance, include dates for when the budget needs to be finalized, when major text sections are due, etc.
5. Identify primary and back-up contact people within each organization for communicating about the proposal and for addressing problems as they arise.
6. Introduce NAO staff to members of the academic team that will be involved in the proposal preparation process. Explain the roles of all those involved.
7. Ensure there is clear understanding of the costs (budget) required to perform the specific project or service. Consider the internal capacity of the organization to successfully manage cost reimbursement awards in addition to upfront costs.

8. Consider how the organization's past performance may impact the partnership.
9. If the organization does not have a conflict of interest (COI) policy, it will need to accept UNC's COI policy.
10. Consider the strengths of the organization so that they can be highlighted in the proposal. Take time to carefully describe characteristics such as:
    - Length of time the organization has been working
    - Specific history of the organization that is related to the proposal
    - Breadth of community support for the organization and its work
    - Organizational chart
    - Sources of funding for the organization's activities, including funding successes
    - Other resources that can contribute to the organization's work
    - Volunteer and paid staff support for the organization's work
    - Experience with successful partnerships
    - Experience with research and negotiating budgets for activities performed
    - Special recognition or acknowledgments related to the proposal
    - Positive stories of participants, media coverage and other attention to highlight experience and capacity

3) Submission Phase – the final check and actual submission of the grant application. You and your academic partner should do a final check to make sure all information is incorporated. While the business office and the OSR will thoroughly review the list of materials needed for the application, the PI is ultimately responsible for every aspect of what is submitted in the application.

4) Review Pending Period – the time between submitting the grant application and receipt of the notice on the status of the award. Whether an application receives subsequent notice of funding or not, this is the time to prepare the team for next steps. Often, investigators do not discuss potential next steps if an application is not awarded funding or share realistic expectations about the probability of funding with their community partners. Specifically, investigators may not share or know the ***potential length of time of the review period***.

For some agencies (e.g., the NIH), the period can be 6-8 months before receiving word on the status of the application. You should understand that you may need to cover organizational expenses while waiting, conduct

North Carolina Environmental Justice Network

The North Carolina Environmental Justice Network (NCEJN) is a community organization that seeks "*To promote health and environmental equality for all people of North Carolina through community action for clean industry, safe work places and fair access to all human and natural resources. We seek to accomplish these goals through organizing, advocacy, research, and education based on principles of economic equity and democracy for all people.*"
www.ncejn.org

What did you and your academic partners do while you waited to hear back from the funding agency about the status of your proposal?

"We have a project team made up of the PI, community members, research assistants, and students. We meet on a weekly basis to talk about what we can do to be ready in the process, how to avoid pitfalls, how long it might take before the money comes in, and what action we can take to get started. That way when the money comes, we are ready to hit the ground running. We do all that prep work together while we're in the waiting process."

other projects, and develop plans to incorporate the proposed research into your existing scope of work. These are opportunities for the community and academic partnership to further build the relationship by discussing lessons learned during the submission process, discuss whether there is a subsequent notice of funding or not through capacity building for doing other research, or generate the next set of research ideas.

What will my academic partner ask for during the process of preparing the application?

There are number of internal procedures and policies that the collaborative team must follow to minimize delays in the internal approval process. During the pre-award application process, there are a number of questions that should be discussed (see **Appendix A**).

Take time to review several RFPs and become acquainted with the requirements. This exercise can help you to identify some materials or documents that your organization can prepare and have available when you start to write the grant proposal.

Depending on your role in the project, you may be asked to provide information that you have available already. Some of the documents include:

- Curriculum Vita (CVs) for key personnel/staff
- Biosketches for members of the organization that might have a role on a grant proposal (see **Appendix J** for sample formats)
- Organizational chart ("O-chart")
- Letters of Support (see **Appendix G** for an example)
- Funding history
- Evidence of "not for profit" status of the organization
- Designated budget officer or fiscal representative to sign forms and paperwork for the organization
- Designated staff person who will monitor all aspects of communication about the grant proposal

- Federal ID number
- Tax exempt status
- Data Universal Numbering System (DUNS) number
- eRA Commons Identification Number
- Facilities and Administration (F&A) Rates (use the federally set rate if your organization does not have one)
- Letter of Intent
- Letter of Commitment
- Federalwide Assurance that the organization will comply with human subjects protection (can use UNC's Institutional Review Board if your organization does not have an existing IRB relationship)
- Memorandum of Understanding
- Conflict of Interest Certification (use UNC COI policy if your organization has not applied for its own certification)
- Budget and Budget Justification

You and your academic partner should be clear on ***roles and responsibilities*** in development of each section of the grant proposal including the Research Plan and during the implementation of the project should it be funded. Grant proposal writing is an iterative process that involves multiple revisions, so be aware that many sections, including ones that you have worked on, may be shortened or edited.

What happens after the application is submitted?

As soon as the application is submitted to the funding agency, your academic partner should share a copy of the submitted Research Plan with you. Also, your academic partner should keep you informed of any communication received from the funding agency regarding the application.

Your academic partner may ask for your help in responding to Just-In-Time requests from funding

Accountability for Cancer Care through Undoing Racism and Equity (ACCURE)

The purpose of this study was to investigate how the healthcare institution can be enhanced through systems interventions to reduce racial inequity in the quality and completion of treatment for Stage 1-2 breast and lung cancer patients.

Collaborators included the Greensboro Health Disparities Collaborative, UNC Center for Health Promotion and Disease Prevention (HPDP), The Partnership Project, Inc., Cone Health Cancer Center, and the University of Pittsburgh Medical Center.

What type of community partner reimbursement scheme was used?

UNC-Chapel Hill was the prime recipient of a National Institutes of Health (NIH) grant award. UNC-Chapel Hill set-up annual subcontracts with each partner organization regarding how to distribute the funds and share fiscal responsibilities. For our healthcare institutions, we set-up quarterly or bi-annual reimbursement methods of payment. For our community partner organization, we set-up a cash advance payment method, which was scheduled to occur every two months. This was a unique arrangement, since universities typically do not provide cash advances to partner organizations, and was necessary because of the small operating budget of the community organization.

This arrangement was approved by our department's business office, Office of Sponsored Research, and ACCURE representatives. The decision to allow a cash-advance payment method was based on the unique mandates of the original NIH request for proposal which required a community-academic research partnership and identifying an appropriate funding mechanism that would maintain community-based participatory research principles.

agencies, which may occur after the scientific review, but before a definite funding decision is made (see **Terms, p. 71**). These usually have very short turn-around times. The funding agency may have additional questions for the research team or will ask for more documentation before making a final decision.

Pre-award Description of Components

The following is a brief description of key components of the pre-award process. Links to additional information and relevant forms can be found in **Table 2**.

Subcontractor selection

Subcontractors must be able to meet the viability, capability, and accountability performance standards for fiduciary management. Also, it is important to remember that the lead institution is ultimately responsible for a subcontractor's performance.

A large number of subcontracts are with universities, research institutes, businesses and for profit corporations with known capabilities. Increasingly, community based organizations and private nonprofits are also being selected to act as subcontractors on sponsored research awards.

The viability of potential subcontractors must be considered by the lead institution and includes such factors such as fiscal management capability. Factors entering into this decision may include but are not limited to: type of organization; past performance with contracts or with the University; total anticipated sub-award amount; required facilities; personnel capacity and practices; and internal controls. Subcontractors will be required to register in the System for Award Management (SAM) and have an assigned Data Universal Numbering System DUN & Bradstreet Number (DUNS #) prior to being issued a subcontract under a federal award.

The PI is responsible for complying with federal requirements in selecting a subcontractor. There are two primary methods of selecting a subcontractor: competitive bidding or single/sole source selection.

- **Competitive bidding -** used as the normal method of subcontractor selection. This method requires the PI to solicit grant proposals from multiple sources and make a final selection of a subcontractor from those responding based on technical merit and cost objectives.

- **Single Source selection** – selection of a "preferred" subcontractor for services which may be available from more than one source, but for reasons of location, price, facilities, availability, quality of manufacturing or service, etc., one of the qualified subcontractors is preferred over the others.
- **Sole Source Selection** - used when only one firm, business or organization can satisfy the requirement. Price is not a factor in sole source selection, however, justification must be made with respect to the unavailability of the services or expertise from other sources. The selection cannot be made based only on past partnerships with the University or the PI.

A pre-selected subcontractor will be asked to provide the PI with a proposed statement of work, budget, budget justification, and the names of persons with signature authority to incorporate into the initial grant proposal to the sponsor. It is important to note that the lead institution may ask for additional documentation (i.e., conflict of interest certification, letters of support, human subjects training certification, etc.).

Subcontractors' responsibilities on the grant

Subcontractors usually perform a specific function of the research project and must be written into the budget of the grant in order to be paid with grant funding. Federal and University guidelines require that sub-recipients use funding in accordance with law, regulations and contract/grant agreements.

In granting subcontracts, the University assumes the responsibility of providing oversight and ensuring sub-recipients are eligible to receive federal funds and have not been suspended by the federal government for prior misconduct.

Although the PI is ultimately held accountable to the University and federal agencies for compliance issues, in practice, the community partner lead and the PI are both responsible for monitoring and assuring that your organization has the appropriate financial system to

Accountability for Cancer Care through Undoing Racism and Equity (ACCURE)

What were some of the lessons learned in the pre-award process that would be important for other community partners and researchers to know?

Lessons Learned Pre-Award for Community Partners

- **Knowing which qualifications are required matters.** According to federal grant guidelines, the accountant who managed funds for an R21 subcontract for this partnership was not qualified to manage the funds for an R01 subcontract. The non-profit had to make a hard choice of not renewing the services of a long-term treasurer and hire a certified accountant to manage the R01 funds.
- **Hosting a planning retreat for understanding of next steps.** The non-profit's Executive Director, who was named on the proposal as the Subcontract Site Director, became sick and died before the grant was awarded. In her absence, a new vision was needed regarding the management of the non-profit and R01 subcontract. Holding a 1.5-day retreat among Board Members was helpful for community partners focusing on next steps.

Lessons Learned Pre-Award for Academic Partners

- **Explaining and repeating the vision in person.** Academic partners had to reestablish credibility with several new partners in the healthcare institution by meeting with them face-to-face to explain how they planned to design and implement various aspects of the R01 research study. They had to explain the vision of the project to medical oncologists, hospital administrators, Cancer Registry Coordinators, and a hospital Information Technology Specialist by traveling to each research site and organizing meetings that included community partners.

Lessons Learned Pre-Award for Healthcare Institutions

- **Recognizing opportunities to fulfill institutional missions comes in different forms.** By implementing ACCURE, the healthcare institutional partner met their state goal of using their cancer registry for research, and it helped to fulfill their mission of working to eliminate racial health disparities by providing excellence with caring. This partnership project also provided an opportunity to enhance public relations and marketing of the healthcare institution.

manage sponsored funding. Make sure that your organization does not have outstanding audit issues that will negatively impact the overall project.

UNC-Chapel Hill has adopted a Sub-recipient Commitment Form that should be completed by your organization prior to issuing a sub-award agreement. This means that your organization may be asked to provide reasonable assurance to the PI and University that you are administering the award in compliance, which can include regular communication, site visits, and being open and transparent regarding sharing fiscal records related to the grant.

The following figure depicts the process of subcontracting:

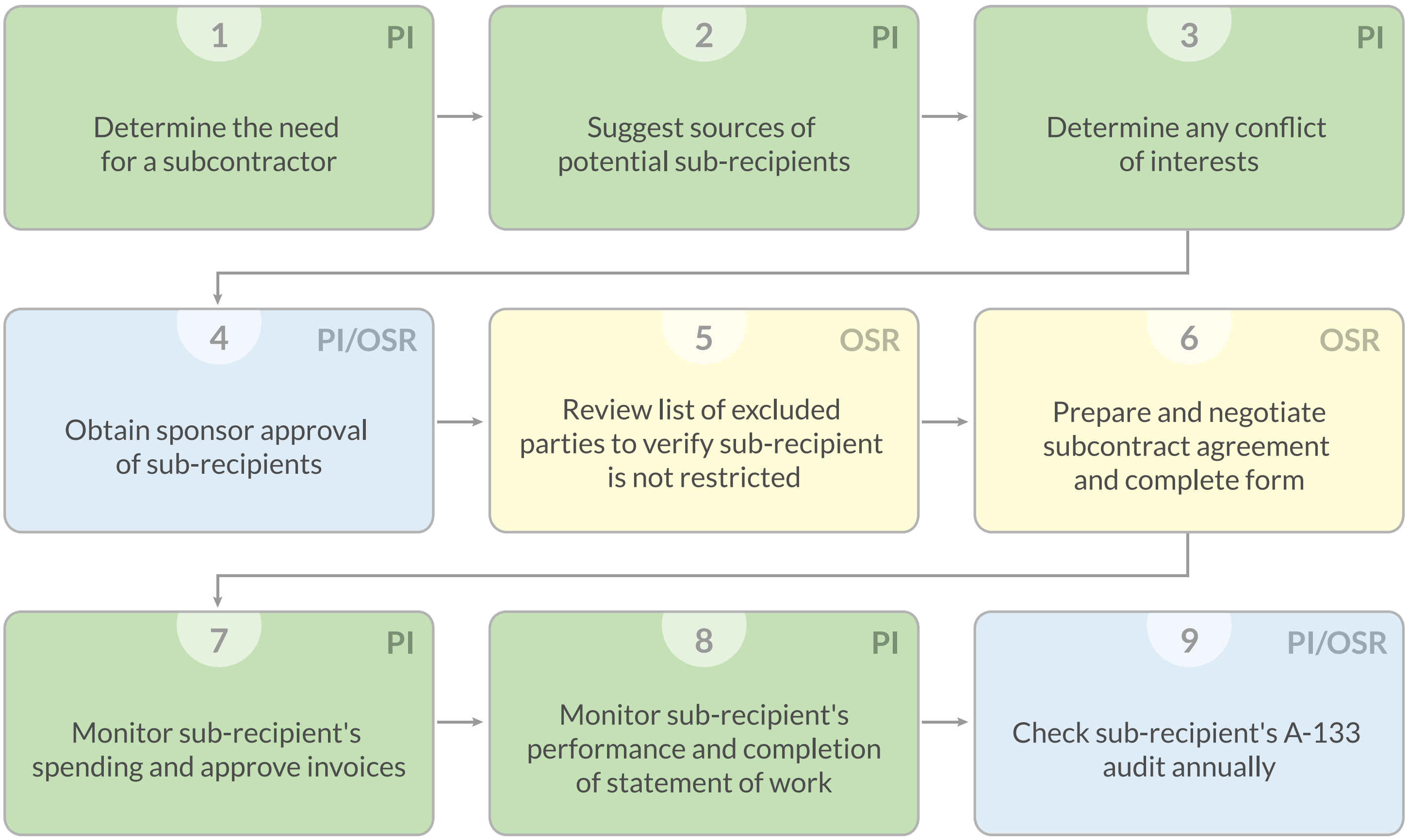


Figure 4. Sub-contract/sub-recipient relationship process

Subcontractor responsibilities to other community members

As an integral part of the research team, the subcontractor has the responsibility to make decisions that enable accomplishment of goals, purpose, and requirements both of the contracted grant and the day-today operations of their organization. Early communication and resource management ensure that the subcontracting agency is able to successfully fulfill both grant and community obligations. The subcontractor should be vocal in expressing any management or financial concerns surrounding research responsibilities which will impact their organization or their community. Investigators and subcontractors should strive for strategic planning and ongoing collaboration to allow for common goals that reflect both contractual and community obligations.

The subcontractor has the responsibility, with collaboration of the research team, to make decisions that enable accomplishment of goals, purpose, and requirements both of the contracted grant and to the day-to-day operations of the agency.

> *Leveraging overhead for the community was a challenge or a barrier, as well as balancing time and compensation.*
>
> CARES Community Partner

Independent Contractor forms

An independent contractor is someone who is hired by the University as a consultant to provide "specifically defined services on a given sponsored research project for a limited period of time" (**research.unc.edu/offices/sponsored-research/policies-procedures/section-500/policy-12**). This consulting arrangement is one way that grant funds can be shared with individual community partners so they can be compensated for completing research activities.

This arrangement works best for community partners who are contributing to a research project on their own time, outside of their regular job duties, such as community advisory board members, or those offering short-term assistance or expertise. Independent contractors are subject to University policies related to human resources, procurement, direct costs that are not related to personnel (which involves salary and fringe benefits), and travel. Community partners are required to complete independent contractor forms (determination form) annually and submit them to the academic business office (see **Table 2**).

Criminal background check

In order to comply with University human resources requirements to ensure the safety of faculty, employees, students, and affiliates, independent contractors must undergo background checks. The background check includes a "search of federal, state and municipal jurisdictions for criminal convictions, national sex offender registration, driver's license history, and education credential and professional licensure verification" (see **Table 3**).

The University will also verify that an independent contractor is still eligible as a federal contractor and has not been suspended or excluded from a federal list of contractors due to misconduct. Since this background check is a requirement, it is important to complete this process so as not to delay the activities of the project.

The background check information is meant to remain confidential and only shared with University personnel that are involved in the hiring process. The background check must be completed by the academic unit prior to an independent contractor being hired. Both academic and community partners should be aware that this process takes time and may significantly impact the research timeline and release of funds to community partners. Community partners who are independent contractors on grants administered by different academic units are required to complete background checks for each unit.

If the background check results are adverse, the head of the academic unit and human resources officer will discuss whether to allow the hiring to proceed. If the results disqualify a potential hire, the individual will be contacted and have 5 business days to provide an explanation or challenge the accuracy of the results from the background check agency. After the explanation or challenge is received by the University, the academic unit and human resources officer will make a final decision. If the person is not hired, they will be informed 5 business days after the initial 5 day response period.

Community partners should be aware that payment from the University is not possible if a background check shows evidence of illegal activity. Also, you may wish to inform your academic partner about any potential adverse issues that may arise in the background check and discuss extenuating circumstances so that you are both prepared to provide an explanation.

Grants Administration Process – Post-Award

What is the grants administration post-award process?

Grant funding is an exciting step which reflects hard work, dedication, and vision. The post-award process involves management of the funded project which may include submission of written reports and status updates, accounting, budgeting, communication, and careful documentation. The post-award phase includes the day-to-day activities through which grant monitoring occurs.

Why is the grants administration post-award period important?

The grants administration post-award process requires coordination of a variety of stakeholders including PIs and program directors, university business offices, sponsoring agencies, and award management teams.

Careful adherence to grant guidelines and regulations are crucial to ensure that the grant budget is maintained, proper payments are made, the grant proposal's end goals are met, and the process as a whole is in compliance with federal, state, and University regulations.

Efficient post-award administration that involves clear communication among all parties while meeting necessary guidelines and regulations may help increase the ability for the collaborative team to dedicate needed time to the research.

What do I need to know about the post-award application process?

Learning from the University Business Office Staff

Your academic business office provides a very critical role in all aspects of the research administration of externally funded research. The business office serves as an agent of the University to assist researchers, providing checks and balances related to compliance with federal, state, and University policies and regulations.

The business office is a valuable resource in terms of new (and old) regulations and sponsor requirements. Keeping the office informed and proactively complying with policies and regulations will help streamline the post-award process. The business office may have more knowledge of some requirements and guidelines than the PI or research team and must approve financial transactions. The post-award application period involves four phases when conducting research: preparation, management, reporting, and close-out.

Phase 1: Preparation

There are procedures to follow once a notice of award (NOA) is received. These are fiscally-related grants management procedures that should be in place prior to beginning work on a project. Once a NOA has been received, plan for a team kick-off meeting to take place. It is important to celebrate the initial success of grant funding.

With this initial kick-off, a meeting should be held with representatives from the research team, community partners, and business office representatives to more firmly establish specific roles, responsibilities, and the expected communication that will happen throughout the life of the grant. It is imperative that all involved parties understand the internal and external policies, and the specific grant management responsibilities required by the funding agency.

Your project budget should have been laid out when the application was submitted. However, budget modifications may be necessary if your award amount was reduced by the funding agencies, or personnel or budget allocations changed since the grant proposal was submitted.

It is important to think about what records need to be kept regarding spending and subcontracting and who is responsible for collecting and submitting this information.   If financial information, personnel or costs change, it is vital to maintain open communication with your academic business office before changes are made to ensure compliance and submit the correct forms related to such changes (see **Table 1**).

Phase 2: Management

This section includes fiscal and grants management procedures to follow during the time the study is being conducted. One of the early steps should include the establishment of an internal, computerized accounting system for the project, such as a tracking system, database, or spreadsheet. This internal management system should be established during award set-up. It is an essential resource throughout the life of the project for successful financial information sharing and reporting.

It is important to schedule regular meetings and set aside time to discuss study finances so that the academic and community partners responsible can work through any issues, ensure the study stays within budget, and can submit invoices in a timely manner.

Phase 3: Reporting

Reporting of fiscal and grants management activities to the funding agency is necessary throughout the life of the grant. This reporting can be requested in cycles, and goes through the business office and the OSR before going to the funding agency. Reports are often due to the funding agency annually (some more frequently).

These reports require both research and business information from community as well as academic partners. The academic partner may request information from the community partner, ideally 3-4 months in advance of deadlines, to ensure the ability to meet both internal and sponsor deadlines.

Create a timeline for report preparation with your academic partner and indicate the flow through the agencies. Define what each partner contributes to the report and identify who will edit the final document. Establishing clear reporting timelines will maximize the ability to submit timely fiscal and administrative reports.

Accountability for Cancer Care through Undoing Racism and Equity (ACCURE)

Do you feel that the fiduciary management of the project impacts the actual research project?

The fiduciary management of the project impacts the actual research activities. There were times when money was not received when expected and needed by the partnering non-profit organization, and individuals donated significant personal funds in order to keep the research moving forward. Those experiences brought mistrust into the research partnership relationship between academic and community investigators. The non-profit organization asserted that the research activities (interviewing participants and compensating interviewees and interviewers) had to stop until funds were flowing smoothly again. When those instances occurred, we quickly moved to correct the situation.

The university also wanted community partners to organize their finances a certain way before allowing fund transfers. These expectations delayed funding to the community organization that was compensating the research activities. Later, the university changed ways in which they requested expenses to be reported, asking the Center for Health Promotion and Disease Prevention (HPDP) business office to obtain more fiduciary details from their community partners, which helped to resolve this issue.

Experiences of mistrust decrease non-profits' interest in future partnership research and works against CBPR principles regarding empowering communities to use partnered research to improve the health of the populations they serve. However, based on the strong foundational relationship between the academic and community investigators, there was an opportunity to seek clarity on misunderstandings, share alternative solutions to problems, and to strengthen working relationships in order for the research activities to continue on schedule and to restore trust among the entire partnership.

Phase 4: Close Out

The following table lists procedures and activities necessary for completing a project (which requires financial closeout and final reporting).

Table 1. Timeline over the closeout of the award		
Frequency	Activity	Who's Responsible
9-12 months prior to expiration	• Determine if PI will submit a competitive renewal or new proposal for funding	• PI and community partners should discuss
3-5 months prior to expiration	• If the grant is not going to be funded, are there other funds to cover personnel costs once grant expires?	• PI and community partners should discuss
2 months prior to expiration	• Will there be an unexpended financial balance? • If work is not completed, request a no-cost time extension • Contact subcontractors to remind them of fund closing • Check balance and status of sub-accounts and resolve any issues	• PI and community partners should discuss whether there is a balance, if a time extension is necessary, and discuss what is needed to apply • PI and project manager send reminders to subcontractors • PI and project manager work with the academic business office and community financial staff
1 month prior to expiration	• Ensure all outstanding invoices are being paid and processed by accounts payable/disbursement services • Prepare paperwork to move personnel to new funds	• Academic and community staff responsible for monitoring finances • PI and project manager
At the expiration date of the fund/ project	• Prepare the NOTR (Notice of Termination Reply) • PI submits all other final reports required by the agency	• PI and project manager • PI and project manager work with community partners to complete final reports
* Source: http://research.unc.edu/files/2013/03/CCM1_031620.pdf		

What do business offices ask for during the process of managing a grant?

Table 2 lists forms and required documentation which may be requested by the business office during the life of your grant. Certain information may be required just once while other information will need to be submitted regularly.

Review the specific requirements of both your grant and your academic business office for more information. This list is not exhaustive, and as requirements may change often, this list is intended to be used as a starting point for thinking about what your project may be expected to deliver.

Table 2. Award Management Forms				
Type	Purpose	When Used	Benefits	Drawbacks
Application for Advancement of C&G Funds **pdf**	In order to receive cash payments for one-time or short periods	Used to request an advance of Contracts & Grants Funds for Cash Advances	One of the major ways that community subcontractors receive funds to conduct the research	Community subcontractor must reconcile funds for a previous advance before new advance funds can be distributed. Reconciliation delays cause payment delays to community subcontractor
Cash Advance Agreements **pdf**	To accept personal responsibility for requesting cash from the University.	Used to request a cash advance for cash payments to participants or purchase gift cards	Relatively quick process to request funds for participant incentives	Risky to carry large amounts of cash to purchase gift cards and bring cash incentives out into the field. Secure storage for cash or gift cards is needed. Must carefully track and log the distribution of incentives. If gift cards are unused, the person requesting the cash advance must pay the university back for the unused amount
Equipment Assignment **Word**	Offsite equipment assignment	Before using University-owned equipment off-campus	University equipment can be used off-campus if the PI signs this agreement	PI is responsible if the equipment is damaged or lost off-campus
Final Invention and Certification Form **Word**	Documents inventions created with federal grant funds	When closing out the project	Notifies the federal government of inventions created during the life of the grant	Work with the University's Office of Technology Development to ensure that your patent application is filed before public disclosure and publication; otherwise, some patent rights may be lost
Notice of Termination Reply (NOTR) **Excel**	Includes itemized list of salaries and expenditures – used to reconcile projected costs with actual costs	At funding expiration date	This document is necessary to close out the project and can be used to inform future grants	Good record keeping is necessary among all partners to reconcile salaries and expenses over the course of the project
Account Adjustment Request **Word**	Used for intra-university transactions between accounts	As needed; before transfers can occur	Funds can be moved between university accounts	Must provide a written justification for the transfer and any supporting documents
Letter of Justification; Changing Investigator's Percent Effort **Word**	To justify change in personnel needs	When such changes occur within the project	Can update an investigator's effort if they are contributing more or less to the project	Justification letter must follow the instructions and be signed by the investigator's chairperson or dean
Institutional Prior Approval System **Word**	Some federal awards require prior approval by the sponsor for certain types of expenditures; UNC has an approval system for these types of expenditures	Can be used to request funds before the official award date, approve purchases for equipment, etc. over $5000, approve foreign travel, or apply for no cost extensions	Instead of going directly to the federal agency to ask for approval, UNC can approve and check that the expenditures follow the grant guidelines	It takes time to prepare this form, which may require a budget revision, and time for the university to approve large expenditures. This may delay your project timeline

Table 2. Award Management Forms				
Type	Purpose	When Used	Benefits	Drawbacks
Documentation of Non-Personnel Cost Sharing **Word**	Used to document expenditures towards the fulfillment of cost sharing commitments	As needed	Can share costs of an invoice, voucher, travel reimbursement, purchase order, check request, etc.	Both parties doing the cost sharing need to be clear about their contribution and communicate regarding when their payment will come through; otherwise, it may reduce trust
PHS 3734 **pdf**	Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant	When an investigator transfers a previously approved project or it is necessary to stop the project	If a PI wishes to transfer the project to another investigator, it is possible to do so if the PI gets ill, moves, or wants a co-investigator to take over primary responsibility	The transfer from one PI to another may be slow, which may delay the project if there are things that need official PI approval. If the PI decides to stop the project completely, the finances need to be balanced and the remaining funds returned to the federal government
Independent contractor forms (determination form)	Defines the specific contracted services and time period of services for a project	Annually	After this form is filled out and approved, a community partner can get paid as a consultant for work completed through an invoicing process	The form's language is sometimes confusing to community partners. The academic partner may want to share an example of a completed form and answer community partners' questions before it is submitted to the academic business office
Invoice Forms	Submitted by independent contractors and vendors for payment of services rendered	Submitted to the academic business office by email, mail, or fax on a regular schedule, e.g. monthly or after the services are completed	Timely submission of invoice forms allows independent contractors and vendors to receive payment	Academic partner may need to create an invoice template that contains the necessary information for the business office and follow-up with community partners regarding timely submission of invoices
Progress Reports	Part of the award renewal process to receive funding for subsequent budget periods within a previously approved project period	At least annually	Can help the partnership do a periodic self-assessment of what is working well in the study and what needs to be improved	Community partners need to be prepared to start early to complete reports by the deadline
Project Financial Guarantee (PFG)	To begin the project after award notification, but before the funds are received	A guarantor signs an agreement to cover the cost for a specified start-up time period if the project begins without official university receipt of the funds. If the grant funds are received, the guarantor does not need to pay	The project can start earlier than waiting for official receipt of funds	If the grant funds are not received, then the guarantor has to pick up the tab for the start-up time period. A guarantor could be the investigator's department or center
Subcontractor Receipts	To reconcile the amount received by the subcontractor with what was spent	When the advance-related activity is completed or the advance is spent, all receipts must be submitted to the academic business office	Encourages accountability among subcontractors who must keep track of their spending	Everyone at the subcontracting organization must keep study-related receipts and give them to their designated staff person so that reconciliation can occur in a timely fashion. If funds are not reconciled promptly, there will be delays in subcontractors being able to receive new funds

Table 2. Award Management Forms				
Type	Purpose	When Used	Benefits	Drawbacks
Cash Transmittal Report	If there was unspent cash, it must be returned to the university	When the advance-related activity is completed	Helps the project keep track of unspent cash	The unspent cash must be returned to the University cashier with this form
Reconciliation of Cash Advance for Study Subjects form	Information about distribution of incentives to study participants	Goes to the academic business office after the incentives are distributed	Provides an accurate record of how many people received incentives and how much was distributed	Detailed record keeping is necessary to fill out this form. Study team may want to develop standardized logs and provide training for staff and subcontractors involved with incentive distribution
Financial Reports	Prepared by the business office to assist the research team in keeping track of project expenses	Frequency determined by the department and business office or by the investigator	Monitor spending by university and subcontractors for improved communication and study progress	Subcontractors may find monthly reporting burdensome unless they establish processes for generating reports easily

UNC Office of Sponsored Research forms list:
research.unc.edu/offices/sponsored-research/forms

Post-award description of components

The following is a brief description of key components of the post-award process. Links to additional information and relevant forms can be found in the preceeding table (**Table 2**).

Notice of Awards (NOA)

This is an official document that states terms, conditions, and budgetary details of an award. The form should specifically provide the award number, approved project and budget period dates, applicable terms and conditions of the award, key personnel, due dates and grants management officer and program official contacts. Terms and conditions of any award require review and approval by the OSR.

Award acceptance legally binds the University to the specified terms, and PIs are responsible for conducting the sponsored research in accordance with all specified terms, conditions, and budgetary constraints.

It is important to note that PIs do not have the authority to accept awards. Awards to the University may be accepted only by the Chancellor or those delegated as having signatory authority.

New Outlooks for CLot-related Ongoing Testing Strategies (NO CLOTS Study)**

The purpose of NO CLOTS was to assess medical outcomes (new blood clots, bleeding, and death) and quality of life in patients taking an anticoagulant who were randomized to one of two groups — self-testing or in-clinic testing of PT/INR (Prothrombin Time and International Normalized Ratio). We developed a community-academic partnership with a stakeholder advisory group by meeting with stakeholders including patients taking anti-coagulant medications, providers, community groups, device manufacturers, patient advocacy organizations, and medical educators.

During the pre-award process, the academic partners shared a one-page description and PowerPoint presentation of the proposed study to initiate an ongoing discussion with stakeholders. We learned that stakeholder input helped us better define our research questions and design. We identified new outcomes that would be important to assess, such as quality of life and health literacy. Additionally, we learned that each group brought a unique perspective to the process.

Once we received the notice of grant award, we sent an email immediately to all stakeholders to share the news. After a month, we met face to face with all stakeholders in a two hour meeting to discuss implementation of the study. We received input on initial practice and patient recruitment materials, reviewed the paperwork that would be required by the university in order to pay each stakeholder for participation in meetings, and established a timeline for future meetings.

During the grants management process, we always work closely with the academic business office, which is our liaison to the Office of Sponsored Research (OSR). Between pre and post award, there were changes in the legal staff at OSR, which led to a change in the business relationship between UNC and one of our stakeholders. We learned that we would have to establish a subcontract with one of the stakeholders categorized as a vendor during the proposal process. This subcontracting process took quite a bit of time. We learned that sometimes there are unexpected changes in university policies that impact stakeholders and the study timeline; communicating with the business office and OSR can help to address them.

*** This case study is based on a real-life example, but the name of the study and the study purpose has been changed to protect the stakeholders' identities.*

Grant Account Number

Following receipt and acceptance of an awarded grant, the OSR will create an individual account number at the University for the award, and subsequently any additional accounts. Notification of activation is issued once the authority has been prepared by the OSR. This notification is sent electronically to the research department and a hard copy is sent to the PI and the Departmental Administrator (DA) when a new account is established or if there is any change in an account.

A specific account number is required for payments. The assignment of an account number can be delayed if any of the following conditions exist:

- Lack of submission of an award document, Project Financial Guarantee (PFG), and/or Letter of Guarantee (LOG)
- Proof of compliance is missing
- Budgetary information is incomplete or missing
- Questions regarding the budget have not yet been addressed
- Questions regarding carryover funds or budget extensions for multiple-year grants
- Negotiations are still ongoing

Project Financial Guarantee

A Project Financial Guarantee is a document that enables an investigator to establish a project account ***before*** administrative procedures to receive official grant funds are completed. To request this agreement, there must be sufficient evidence that the award funds are forthcoming, since if the grant does not come through, the university unit will be responsible for the funds expended. A set of forms must be completed and reviewed for approval. The academic business office is the first point of contact to determine whether or not your collaborative team is eligible to apply for a Project Financial Guarantee.

Invoicing

Independent Contractor Payment Process

After the background check is approved, and independent contractor determination forms are approved by UNC, an independent contractor is authorized to submit invoices to the University. Invoices must be approved and signed by the PI, then submitted to the academic business office for processing. The payment from the University can be mailed as a check or automatically deposited into the independent contractor's bank account.

Cash Advances for Subcontractors

Depending on the amount of the research related expense, community partners may not have the fiscal flexibility in their organization to pay for research expenses in advance, invoice the University, then wait for reimbursement.

As a subcontractor, you are able to request a cash advance for research related expenses. The subcontractor must fill out an Application for the Advancement of Funds and Cash Advance Agreement, have it signed by the PI, and submit the forms to the academic business office. The subcontractor will then receive a check for the advanced funds. ***The timing and amount of the cash advance should be carefully considered — a cash advance must be completely reconciled before a new cash advance can be submitted.*** Only in rare circumstances is a subcontractor able to request an increase in the amount of the advance without the initial advance being reconciled.

Reconciliation of expenses

After receiving a cash advance, the subcontractor must keep all receipts for expenses related to that advance. When the advance related activity is completed or the advance is spent, all receipts must be submitted to the academic business office to reconcile the amount received by the subcontractor with what was spent. If there is unspent cash, it must be transferred back to the University Cashier using a Cash Transmittal Report. After the cash advance is completely reconciled by the academic business office, then the subcontractor is eligible to apply for another cash advance.

Incentives Tracking and Reporting

Cash Advances for Participant Incentives

Academic research staff or community subcontractors can request a cash advance from the University in order to provide monetary incentives for study participants. Whoever is responsible for distributing the incentives must keep excellent records to reconcile what funds were requested versus what was distributed.

The academic or community partner responsible for distribution should maintain a log with dates, participant names, addresses, social security numbers, amount of incentive, and copies of the receipts to show that a participant received an incentive. Study participants should receive the original receipts. Information from the log is used to fill out a Reconciliation of Cash Advance for Study Subjects form, which goes to the academic business office after incentives are distributed.

To ensure the confidentiality of participants' names, study participant numbers are entered on the reconciliation form. It is highly recommended that the study team obtain an accurate estimate of how many incentives they will need to give out. If any incentive funds are unused, the research staff or subcontractor who requested the advance will have to return the unused funds to the University cashier.

Cash Advances to Purchase Gift Cards

Similarly, a cash advance can be requested by either the academic partner or community partner to purchase gift cards for study participants. Whoever is responsible for distributing the gift cards should maintain a log with dates, participant names, gift card amount, and copies of receipts to show that the gift cards were purchased and the participants received the gift cards.

Study participants should receive the original receipts. Instead of names, study participant numbers are entered on the reconciliation form, which goes to the academic business office after the incentives are distributed.

It is highly recommended that the study team obtain an accurate estimate of how many gift cards they need to purchase. If any gift cards are unused, the research staff or subcontractor who purchased the gift cards will be required to keep unused cards and return cash for that amount to the University cashier.

Expense Reports

Budget line items

One of the responsibilities of a subcontractor is to ensure that expenses are accurately recorded and reconciled in a timely manner. Sharing expense reports on a monthly basis with your academic partner and the business office is necessary to ensure that funds are being expended in a transparent manner. Moreover, expense reports should show that line items are grouped by categories that typically match the grant's budget categories, and show the past month's expenses and future projected expenses.

These expense reports are valuable tools to plan for cash advance requests so that your organization has adequate cash flow to conduct research activities.

Budget Modifications

If the subcontractors' scope of work changes during the course of the grant, and accompanying budget changes need to be made, it is possible to modify the budget in collaboration with your academic partner after checking the following:

a. The notice of award should be reviewed to see if budget modifications are permitted and checked for budget restrictions.

b. The account should be reviewed for restriction codes in the Financial Reporting System (FRS), which is UNC's electronic accounting system.

c. Written permission for a budget modification should be obtained from OSR for budget revisions that differ from the notice of award or is restricted by FRS. If a budget revision is permitted under the conditions of the grant award and not restricted by FRS, then a budget modification can be presented to OSR to process. OSR will submit a letter to the sponsor with the proposed budget modification for approval. It should be noted that different funding agencies may have different requirements regarding budget modifications.

Carry-Forward

At the end of a budget period, there may be unexpended funds left over from the project. These funds may not have been expended due to delays in personnel hiring or other delays in the project. Justification to the sponsor of why these funds have not been expended and may be required to request carry forward funds to the next budget period. The sponsor needs to be reassured that even though there are unexpended funds, the work is still being accomplished.

A budget and justification are often required by the sponsor to show how these carry forward funds will be expended for the project in the future. There are often grant or contract limitations on whether funds can be carried over to the following fiscal year. Academic and community partners should be aware of these rules, which may vary by type of agency and funding (i.e., state, federal, trust, endowment, special funding, etc.). Often, an official request to the funding agency and approval is required in order for OSR to process the carry over.

Annual Reports

Budgets that are part of annual reports

Depending on the requirements of the specific grant, funding agencies usually request an annual report from grantees on their progress or a final report after the grant is completed. More frequent reports on a monthly, quarterly or semi-annual basis can also be requested by funding agencies. In addition to reporting progress on outcomes, which should be done jointly by academic and community partners, annual reports often contain a section for budgets.

The budgets should be prepared collaboratively by both academic and community partners working with their business office so that they reflect expenditures by the primary grantee and subcontractors. For federal grants, it is a requirement that financial records and supporting documents be kept for 3 years from the submission of interim and final reports.

Financial Status Reports

Each grant will have different requirements for financial reporting and the frequency of reports. Usually the reports will include a summary of expenditures for a specific time period. These reports are produced by the OSR for the funding agency based on information entered by the business office in FRS.

It is very important that accurate and timely financial information is provided by the PI and subcontractors to the business office on a monthly basis so that it can be entered into FRS. Every six months, UNC faculty and staff must also certify the percentage of effort they spend on projects (through ecrt) as part of financial reporting requirements to the University.

Consultant Fees

To hire a consultant, check your grant requirements and funding agency to see if prior approval is needed. Ideally, consultant fees have already been included in the grant proposal budget. After the grant is awarded, then hiring a specific consultant can be approved by the funding agency.

Each consultant must complete University procedures to be approved as an independent contractor, including passing a background check. A written contract between the business office and consultant describing the work to be completed, deliverables, timelines/deadlines, reporting requirements, payment terms, and cancellation terms is also highly recommended to improve communication and accountability.

When processing payments for consultants, all invoices must be signed by the PI before submitting them to the business office. Your organization's expenditures and travel reimbursements related to the grant should be included in the monitoring process.

Final Reports

In order to officially close out a project, several reports need to be completed for the University. These include (with responsible parties in parentheses):

4. Project Performance Report (PI)
5. Final Report of Expenditures, including Notice of Termination Reply (PI and OSR)
6. Patent, Inventions, and Technology Transfer Issues (PI, OSR, Office of Technology Development)
7. Real Property and Equipment Ownership (OSR)
8. Contractor Release/Contractor Assignment (OSR)

To ensure the accuracy of the reports, academic and community partners may wish to collaborate on all reports for which the PI is responsible, especially the Project Performance Report and "Notice of Termination Reply." All documentation for these reports must be kept for 3 years from the submission date of the reports.

No-cost Extension

If at the end of the project there is an unobligated balance, and the project work has not yet been completed, a request for a no-cost extension may be made to the funding agency. A budget and justification must be prepared to explain how the remaining funds will be spent. Normally, a one year no-cost extension is granted. In rare occasions one additional no-cost extension may be requested.

Notice of Termination Reply (NOTR)

Since there may be expenditures before the project ended that are not yet entered in FRS, a "Notice of Termination Reply" report should be prepared by both partners in collaboration with their business office.

OSR will use the NOTR and FRS data to prepare a Final Report of Expenditures which is sent to the funding agency. The Final Report of Expenditures is due to the funding agency 90 days after the completion date of the grant award.

Budget Reconciliation

After the NOTR is completed and the Final Report of Expenditures is submitted to the funding agency, accounts must be reconciled so that the account balance reaches zero before the account can be officially closed. Outstanding financial obligations listed in the NOTR should be entered in FRS.

Unused funds remaining after the grant ends are returned to the funding agency. If the funding agency allows the University to keep unused funds, they will be transferred into a departmental residual account. If the account is overextended, payment from another source must be provided so that the account balance equals zero; then it can be closed.

Tips and Things to Consider

In this section, you will find helpful hints and things to keep in mind throughout the partnering process.

Organization Assessment

- Does the research project have formal approval by designated members of the organization?
- Have you been transparent with your organization's members so that there is approval of all actions that will need to be taken on behalf of the organization? Your members will need to understand the commitment and be ready to make the investment.
- Has a spokesperson been identified and a chain of communication established to keep members of the organization informed about what is happening at each step?
- Have you examined the full range of benefits and risks? Do members of your organization consider the benefits worth the risks? Remember, you will need a lot of help from others in your organization to be successful.
- Take a good look at what your organization has to offer. How do you market your assets to your advantage?
- Assess your shortcomings. How do you plan to overcome any shortcomings of your organization?
- Identify a small manageable project first to help build momentum and move to something more complex.

Creating a Nurturing and Healthy Partnership

- Be careful in identifying a potential partner. Consider researchers that have demonstrated some interest in the community before the research opportunity comes up.
- Check the investigator's research history to assess their previous experience working in CBPR partnerships. Talk with members of previous partnerships to gather information about how the partnership worked. If the investigator has not worked with a partner before, ask if they have an investigator experienced in CEnR on their research team.
- Creating an effective partnership will take time and commitment. Are you up to the task? Do you and other members of your organization want this partnership?
- Identify times to meet and discuss the partnership in multiple settings, including the academic setting, in the community, and in mutually convenient settings. Invest time in getting to know your partner through these visits.

- Carefully consider if your organization is pursuing the partnership because you want to conduct research. Does the partnership fit with the goals of the organization?

Research Infrastructure

- Make sure that your organization does not have any outstanding fiscal issues that are unresolved.
- Community organizations usually must demonstrate that they are capable of executing a contract with an academic institution. Clarify lines of authority for the subcontract and clearly define the decision-making tree.
- Assess your capacity to be a partner in a research collaboration. Do you have the core resources necessary to execute a contract? Find out what those core resources are. Are you ready *now*? An honest assessment is important.
- Respect different procedures and policies and be prepared to make changes for the benefit of the partnership.
- Acknowledge that funds for the project are often awarded to the academic institution and that the community organization is most likely to receive a subcontract for the work that they will do. There are instances where the NAO is the prime recipient for an award, and the responsibilities are much greater than a role as a subcontractor.
- Decide how to be involved as soon as possible in the writing and preparation of the grant proposal so that the position of the community organization is recognized. Be mindful that participation of community representatives at this point in the process is not paid time. Decide how engaged you can be.
- Co-develop a Memorandum of Understanding (MOU) and discuss it with members of your organization so that everyone is clear about the resources being committed. This MOU is an early test of the ability to negotiate and reach shared goals for the partnership. The MOU defines the administrative structure of the partnership.
- Create a communication plan. Decide how partnership members will communicate with each other. What communication methods work best for the partnership?
- Invest time and some resources into facilitating a launch of the partnership. Is an orientation session in order? How can you demonstrate your pride in the venture and share it with those important to you?
- How do you create procedures in your organization for receipt and disbursement of the funds from the subcontract? How do you ensure that everyone in your organization is aware of the limitations on the use of the funds received for the project?
- Is your organization ready to advance funds to start the project? Consider that subcontracts often operate on reimbursement rather than payment upfront.

Grants Management

- There are a lot of commitments and conditions attached to a funding award. It is important that your organization and everyone that is connected to the award understand them.
- Dealing with fiscal management issues will be one of the most challenging aspects of the partnership.
- Assess the interest and capacity of the Fiscal Officer for your organization to deal with the fiscal reporting requirements of the grant.
- Decide early on what your organization's fiscal management capacity is and consider that as you create the MOU.
- Is your organization prepared to disburse funds for grant activities while grant set-up is occurring?

Proposal Writing and Grant Submission

- What level of involvement are you prepared to give for writing a grant proposal? Remember, there is usually no compensation for this work.
- Decide on specific ways community members can participate in creating the grant proposal. What is needed?
- Review some requests for proposals (RFPs) to become comfortable with what is requested. This could be a group training or work session for your organization.
- Update CVs for your organization's staff and create biosketches using the new NIH format for those who will be included in the grant. Also consider the PCORI format, which enables community researchers to include skills and activities that are usually not included on the NIH form.
- Review some sample Letters of Support (LOS) and be prepared to provide a LOS as requested for a grant proposal. Clarify who signs the LOS. Request enough lead time to process the LOS in your organization.

Research Ethics

- Identify ways to share research ethics protocols that protect citizens who participate in research with members of your organization.
- Do you want to use the partnership's creation as an opportunity to discuss research participation and research ethics with members of your organization?
- Clearly communicate expectations of the subcontract to members of your organization so that members can ask questions as needed. Transparency is important.

- Who in your organization will complete research ethics or CITI training? The Collaborative Institutional Training Initiative Program (CITI) provides online ethics training to investigators and staff conducting research with human subjects. Completion of their training modules are recognized at many research institutions across the U.S.
- How will you share the core of the training with the organization? Anyone connected with the implementation of the project will require CITI training.
- How will you augment the CITI training with specific information about issues of confidentiality, privacy, and data security?

Martha Martin presenting at a CAGAT webinar

Conclusion

CONTACT

For more information on NC TraCS services and consultations, please contact us :

phone: 919.966.6022

email: nctracs@unc.edu

website: **tracs.unc.edu**

This guide has provided an introduction to information and resources for working with community partners and business office staff to manage the fiscal and administrative aspects of a partnered research grant together.

The process is an ongoing learning experience, for all parties, since every grant may have different requirements and each partner has unique concerns. Your willingness to continually engage and communicate with your partners to address fiscal and administrative challenges can help make the grants process mutually beneficial and rewarding.

The contents of this manual are only intended as a starting point and can be supplemented by a series of related trainings sponsored by NC TraCS.

NC TraCS also offers consultations and services to assist community-based researchers and community partners at any stage of their research, including Charrette consultations specifically for community-academic partnerships to assist with problem-solving.

Acknowledgments

The authors would like to gratefully acknowledge the contributions of the following people and organizations that have provided advice and feedback on this manual (in alphabetical order):

Alice Ammerman
Carlar Blackman
Randy Bickford
Amanda Briggs
Sharon Brooks
Sharon Brown-Singleton
Angela Bryant
Tim Carey
Kathy Cheek
Giselle Corbie-Smith
Robin Cyr
Phyllis Daugherty
Gaurav Dave
Eugenia Eng
Melvin Jackson
Nancy Jenkins
Barbara Jones
William Kearney
Alexandra Lightfoot
Martha Martin
Naeema Muhammad
Crystal McCall
Alison Nelson
Vanessa Peoples
Malika Roman-Isler
Janee Smith
Julea Steiner
Doris Stith
Sonya Sutton
Sue Tolleson-Rinehart
Lance Underwood
Mysha Wynn

NC TraCS Communications, especially Chad Henderson for formatting the manual
North Carolina Community Health Leadership Roundtable
UNC Office of Sponsored Research
Community-Campus Partnerships for Health
UNC Center for Health Promotion and Disease Prevention
NC TraCS CARES Metrics Workgroup
NC TraCS CARES Community Experts and Partners
ACCURE Partnership
North Carolina Network Consortium

Funding Source

This manual was supported by the National Center for Advancing Translational Sciences (NCATS), National Institutes of Health, through Grant Award Number UL1TR001111. The content is solely the responsibility of the authors and does not necessarily represent the official views of the NIH.

Disclaimer

The contents of this manual are only intended as an introduction to partnered research grants management. For the most up-to-date information and guidelines, please consult your academic business office and the UNC Office of Sponsored Research.

APPENDIX

Appendix A: Checklists

Grants Management Checklists

Pre-Award Checklist for Community Partners

- ❑ Am I familiar with the specific requirements of the grant and of my academic partner?
- ❑ Do I know who needs to approve and certify the application?
- ❑ What are the key timeline items including due dates when my partner will expect something?
- ❑ Am I familiar with any and all forms and activities my academic partner will need from me?
- ❑ Is a letter of intent or letter of support required by the funding agency? If so what is the due date?
- ❑ When is IRB approval required? Is it required pre- or post-release of funds? Have I informed the appropriate staff at my organization about training requirements in research ethics?
- ❑ Do I know who to contact within my academic partner's institution with questions, concerns, or other communications? Has a plan for regular communication been established?
- ❑ Have I shared all pertinent information with my academic partner including my organization's needs, reporting structure, constraints, and operations?
- ❑ Have the academic partner and I discussed and clearly defined roles and responsibilities in the development of each section of the grant proposal?
- ❑ Have I informed my academic partner of my ability to respond to Just-In-Time requests?
- ❑ Does my organization have a DUNS number or has one been requested?
- ❑ Upon submission of the application, has my academic partner shared a copy of the submitted research plan with my organization?
- ❑ Is there a proposed plan for covering costs and disbursement of funds across partners?
- ❑ Has my academic partner informed me of any specific financial systems that need to be set up for accounting purposes, and have I addressed this with my organization?
- ❑ Has a dissemination plan been established which includes sharing periodic updates and study results and providing opportunities for feedback with my community?

Post-Award Checklist for Community Partners

- ❑ Have my partner and I established a plan for regular communication throughout the life of the grant?
- ❑ Has a grant kick-off meeting been scheduled with the necessary partners?
- ❑ Have I established a plan for fiscal management in collaboration with my partner and the academic business office for successful sharing of financial reports over the life of the grant?
- ❑ Have I completed an Independent Contractor Form (determination form)?
- ❑ Have I completed background check forms?
- ❑ Have I completed forms to become a University-approved vendor?
- ❑ Do I have a plan for completing and monitoring time and effort certifications?
- ❑ Have I developed a plan with my academic partner to meet requirements related to research ethics training and other certifications (i.e. CITI, HIPAA, Conflict of Interest, computer information security, etc.)?
- ❑ Do I have a plan with my partner for completing regular progress reports and annual reports required by the funding agency?
- ❑ Do I have a record keeping plan for reconciliation of cash disbursement for study participants?
- ❑ Have I discussed with my academic partner whether the proposed plan for covering costs and disbursement of funds has changed from what was discussed in the pre-award period?

Checklist for Community Organizations

Things to consider about your academic research partner before entering into a partnership:

- ❑ Communication
  - ❍ Are you able to have clear and transparent communication?
  - ❍ Is there a dedicated liaison and back-up person on the academic team to communicate with your community organization?
  - ❍ Do you have a dedicated contact person for business matters at the University (e.g. academic business office manager or staff person)?
- ❑ Is your relationship based within a common interest? Is there established trust in the relationship?
- ❑ What is your academic partner's interest and experience with the topic of interest?

- ❑ Does my academic partner have a good understanding of policies and requirements from the University's business office?
- ❑ Does my academic partner have a good understanding of community-based participatory research (CBPR) principles?
- ❑ What is my academic partner's experience with grants and University processes?
- ❑ Does my academic partner have an interest in building the community's capacity as part of the research project?
- ❑ What is my academic partner asking of the community in terms of study participants and recruitment needs?

Characteristics that signal to be careful:

- ❑ Does my academic partner have limited experience with community based research?
- ❑ Am I having difficulties with transparency and clear communication at the front end of the partnership?
- ❑ Am I having difficulties communicating or progressing after a few meetings?
- ❑ Is my academic partner unwilling to learn and grow from where they are now?

> *I would advise academic partners to envision themselves as community members and use fair and equitable decision making processes to keep the partnership effective.*
>
> ▶ CARES Community Partner

Things community organizations should consider about their own capacity:

- What is the organizational support and infrastructure of my organization?
- Does my organization have the required accounting and/or record keeping capabilities?
- Does my organization have a clear understanding of the University's expectations and policies?
- Is my organization willing to make the time commitment required in partnering with an academic researcher and their institution?
- Does my organization have a dedicated liaison as well as a back-up person to communicate with the academic team?
- Does my organization have a designated financial person to communicate with the academic team?
- Can communication with the academic team occur in a timely and technical manner from my organization?

Appendix B: Resource List

The following list is intended to be used as general guidance, and supplements what has been provided in this guide. The resources are categorized by section: Useful terms and acronyms, resources on community engagement, funding, and the grants management periods.

Table 3. Links to more sources on acronyms and useful terms	
NIH Acronyms	**grants.nih.gov/grants/acronym_list.htm**
Medical Acronyms	**www.acronymslist.com/cat/medical-acronyms.html**
Glossary of common terms used in community health engagement	**www.indianactsi.org/chep/resources/glossary**
Glossary of Research Administration Terms from UNC's Office of Sponsored Research	**research.unc.edu/offices/sponsored-research/resources/data_res_osr_glossary/#N**
Additional Resources on Community Engagement	
CDC: Principles of community engagement	**www.atsdr.cdc.gov/communityengagement/pdf/PCE_Report_508_FINAL.pdf**
More principles of engagement as well as community health need assessment	**www.ucdmc.ucdavis.edu**
Instruments of community engagement	**cpr.unm.edu/research-projects/cpbr-project/cbpr-model.html**
NIH: Opportunities for Advancing Clinical and Translational Research	**www.iom.edu/Reports/2013/The-CTSA-Program-at-NIH-Opportunities-for-Advancing-Clinical-and-Translational-Research.aspx**
Funding Sources	
All federal funding opportunities	**www.grants.gov**
CDC Funding	**www.cdc.gov/od/pgo/funding/grants/foamain.shtm**
Patient Centered Outcomes Research Institute (PCORI)	**www.pcori.org**
Commonwealth Fund	**www.commonwealthfund.org**
Kate B Reynolds Charitable Trust	**www.kbr.org**
Robert Wood Johnson Foundation (RWJ)	**www.rwjf.org**
Associated Grant Makers	**www.agmconnect.org**
Foundations.org	**www.foundations.org/grantmakers.html**
Fundsnet.com	**www.fundsnetservices.com**

Table 3. Links to more sources on acronyms and useful terms	
The Foundation Center's "Philanthropy New Digest"	**foundationcenter.org/pnd/rfp**
UNC Funding Portal	**fundingportal.unc.edu/funding-databases**
Grants Management Resources – Pre-Award Period	
Skill-Building Curriculum: Developing Sustainable Partnerships	**depts.washington.edu/ccph/cbpr/index.php**
Tufts Clinical and Translational Science Institute Guidance on CEnR Federal Grant Applications	**www.tuftsctsi.org/research-services/stakeholder-community-engagement/community-engagement-tools-resources/community-members-guide-to-submitting-a-research-grant-application**
IRS publication "Tax Exempt Status for Your Organization"	**www.irs.gov/pub/irs-pdf/p557.pdf**
Data Universal Numbering System (DUNS)	**fedgov.dnb.com/webform/index.jsp**
eRA Commons Identification Number	**public.era.nih.gov**
Letter of Intent (LOI)	**www.nimh.nih.gov/funding/grant-writing-and-application-process/letter-of-intent.shtml**
Conflict of Interests	**grants.nih.gov/grants/policy/coi/**
Research Budget Justification	**grants.nih.gov/grants/funding/phs398/phs398.html**
Biosketches	**grants.nih.gov/grants/funding/phs398/phs398.pdf**
HIPAA Privacy Rule	**www.hhs.gov/ocr/privacy/hipaa/understanding/special/research/research.pdf**
Research Ethics: The Common Rule	**www.hhs.gov/ohrp/humansubjects/commonrule/**
Guidance on Facilities and Administration (F&A) Rates	**www.fcadv.org/sites/default/files/Sample%20Indirect%20Cost%20Proposal%20Format.pdf**
Human Research Ethics — UNC	**research.unc.edu/offices/human-research-ethics/resources**
Human Research Ethics — NIH	**grants.nih.gov/grants/policy/hs/index.htm**
Protecting Human Subjects	**www.hrsa.gov/publichealth/clinical/HumanSubjects**
Collaborative Institutional Training Initiative at the University of Miami — CITI Program	**www.citiprogram.org**
HIPPA online training — UNC	**www.med.unc.edu/security/hipaa**
UNC Research Facts and Figures	**research.unc.edu**
RAMSeS — Proposal Award and Development	**apps.research.unc.edu/ramses**

Table 3. Links to more sources on acronyms and useful terms	
NC TraCS Institute (clinical research support and guidance)	**tracs.unc.edu**
UNC Helpful List of Research Resources	**research.unc.edu/units**
Grants Management Resources – Post-Award Period	
Office of Sponsored Research at UNC	**research.unc.edu/offices/sponsored-research**
OSR Trainings Offered	**research.unc.edu/offices/sponsored-research/training**
OSR Policies and Procedures	**research.unc.edu/offices/sponsored-research/policies-procedures/section-700/policy-3**
Independent Contractor Information	**research.unc.edu/offices/sponsored-research/policies-procedures/section-500/policy-12**
Criminal Background Checks	**hr.unc.edu/policies-procedures-systems/spa-employee-policies/employment/pre-employment-background-checking-spa-epa-non-faculty/#Criteria_for_Background_Check_Requirement**
Subcontractor Payment Process	**research.unc.edu/offices/sponsored-research/policies-procedures/section-500/policy-11**
Cash Advances	**research.unc.edu/offices/sponsored-research/policies-procedures/section-500/policy-14**
Applications for Cash Advances	**financepolicy.unc.edu/files/2014/11/307-1-1f-Application-for-Advancement-Funds.pdf**
Reconciliation of Expenses	**financepolicy.unc.edu/policy-procedure/307-cash-advance/307-1-requesting-reconciling-and-settling-cash-advance**
Incentives tracking and reporting	**research.unc.edu/files/2013/03/CCM1_030831.pdf**
Cash advances for study participants	**financepolicy.sites.unc.edu/files/2012/04/307_1_4f-Reconciliation-of-Cash-Advance-for-Study-Subjects1.pdf**
Cash Advance Agreement	**financepolicy.sites.unc.edu/files/2012/04/307_1_2f-Cash-Advance-Agreement1.pdf**
Cash Advances for gift cards	**financepolicy.sites.unc.edu/files/2012/04/307_1_3f-Request-for-Advance-for-Purchase-of-Gift-Cards1.pdf**
Budget Modifications	**research.unc.edu/offices/sponsored-research/policies-procedures/section-500/policy-19**
Carry-forward	**research.unc.edu/offices/sponsored-research/policies-procedures/section-500/policy-21**
Annual Reports	**research.unc.edu/offices/sponsored-research/policies-procedures/section-600/policy-1**
Financial Status Reports	**research.unc.edu/offices/sponsored-research/policies-procedures/section-600/policy-2** **research.unc.edu/offices/sponsored-research/policies-procedures/section-600/policy-3**
Consultant Fees	**research.unc.edu/offices/sponsored-research/policies-procedures/section-500/policy-12**
Final Reports	**research.unc.edu/offices/sponsored-research/policies-procedures/section-700/policy-1**
Budget Reconciliation	**research.unc.edu/offices/sponsored-research/policies-procedures/section-700/policy-3**

Appendix C: Funding Resources

UNC-Chapel Hill receives research funding from multiple sources. In health affairs (dentistry, medicine, nursing, pharmacy, and public health), funding is received from federal and state agencies, foundations, and non-profit organizations, with a large portion from federal agencies. Below are links to some of these funding sources.

Federal Agencies

All current federal funding opportunities can be found at **www.grants.gov**.

- Agency for Healthcare Research and Quality (AHRQ) — **www.ahrq.gov**
- Centers for Disease Control and Prevention (CDC) — **www.cdc.gov/od/pgo/funding/grants/foamain.shtm**
- National Institutes of Health (NIH) — **www.nih.gov**

  NIH is made up of 27 Institutes and Centers, each with a specific research agenda, often focusing on particular diseases or body systems. Some Institutes/Centers that are common funding sources are:

  National Cancer Institute (NCI)

  National Heart, Lung, and Blood Institute (NHLBI)

  National Institute on Aging (NIA)

  National Institute on Alcohol Abuse and Alcoholism (NIAAA)

  National Institute of Allergy and Infectious Diseases (NIAID)

  National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIAMS)

  National Institute of Child Health and Human Development (NICHD)

  National Institute of Diabetes and Digestive and Kidney Diseases (NIDDK)

  National Institute on Drug Abuse (NIDA)

  National Institute of Environmental Health Sciences (NIEHS)

  National Institute of Mental Health (NIMH)

  National Institute on Minority Health and Health Disparities (NIMHD)

  National Institute of Neurological Disorders and Stroke (NINDS)

  National Institute of Nursing Research (NINR)

  National Center for Complementary and Integrative Health (NCCIH)

Non-profit organizations and foundations also fund health-related research. Some of these are listed below.

Foundations

- Commonwealth Fund — **www.commonwealthfund.org**
- Kate B Reynolds Charitable Trust — **www.kbr.org**
- Robert Wood Johnson Foundation (RWJF) — **www.rwjf.org**

Non-Profit Organizations

- Patient Centered Outcomes Research Institute (PCORI) — **www.pcori.org**
- Advocacy Organizations

  Examples:
  Alzheimer's Association — **www.alz.org**
  American Cancer Society — **www.cancer.org**
  American Diabetes Association — **www.diabetes.org**
  American Heart Association — **www.heart.org**

UNC Funding Information Portal

This portal guides the researcher to current opportunities as well as other useful resources for those seeking funding for their research. **fundingportal.unc.edu/funding-databases**

If you are just getting started seeking research funding, talk with your academic partner about identifying some common, relevant funding sources.

Appendix D: Acronyms and Terms

Acronyms

ACRP	Association of Clinical Research Professionals
AHRQ	Agency for Healthcare Research and Quality
BAA	Broad Agency Announcement
Biosketch	Biographical Sketch
CAB	Community Advisory Board
CAC	Community Advisory Council
CARES	Community Academic Resources for Engaged Scholarship at NC TraCS
CAS	Cost Accounting Standards
CBO	Community-Based Organization
CBPR	Community-Based Participatory Research
CEnR	Community-Engaged Research
CFR	Code of Federal Regulations
CITI	Collaborative Institutional Training Initiative
CO	Contracting Officer
COI	Conflict of Interest
CRMS	Clinical Research Management System
CTRC	Clinical and Translational Research Center
CTSA	Clinical and Translational Science Award
DC	Direct Costs
DHHS	Department of Health and Human Services
DUNS	Data Universal Numbering System
EBI	Evidence Based Interventions
eRA Commons	Electronic Research Administration Commons
F&A	Facilities and Administrative Costs (often referred to as indirect costs)
FDA	Food and Drug Administration
FOA	Funding Opportunity Announcement
FTE	Full Time Equivalent
FY	Fiscal Year
HIPAA	Health Insurance Portability and Accountability Act
IAA	Institutional Authorization Agreement
IBC	Institutional Biosafety Committee
ICC	Independent Contractor Checklist
IIA	Individual Investigator Agreement
IRB	Institutional Review Board
LOC	Letter of Commitment

LOI	Letter of Intent
MOU	Memorandum of Understanding
MTDC	Modified Total Direct Costs
NC TraCS	North Carolina Translational and Clinical Sciences Institute
NRP	Network for Research Professionals (at UNC-Chapel Hill)
NGA	Notice of Grant Award
NIH	National Institutes of Health
NOFA	Notice of Funding Availability
NOTR	Notice of Termination Reply
OHRE	Office of Human Research Ethics
OHRP	Office for Human Research Protections
OMB	Office of Management and Business
OSR	Office of Sponsored Research (at UNC-Chapel Hill)
PBR	Practice Based Research
PBRN	Practice Based Research Network
PCORI	Patient Centered Outcomes Research Institute
PI	Principal Investigator
RAMSeS	Research Administration Management System and eSubmission
RFA	Request for Applications
RFP	Request for Proposals
RFQ	Request for Quotes/Quotation
SOW	Statement of Work or Scope of Work

Terms

Abstract - A one page project summary of the significance (need) of the work, the hypothesis and major objectives of the project, the procedures to be followed to accomplish the objectives, and the potential impact of the work.

Allowable Costs - Costs allowable as a charge on a grant or contract as determined by the terms and conditions of the award and/or appropriate federal cost principles provided in the Office of Management and Budget (OMB) Circular A-21, Principles for Determining Costs Applicable to Grants, Contracts, and Other Agreements with Educational Institutions.

Amendment - Any change to a contractual agreement, which usually requires an official signature.

Authorized Signature / Authorized Signature Authority - The signature of a University official who is designated to give assurances, make commitments and execute legal documents on behalf of the University. The signature of an authorized official certifies that commitments made on grant proposals or contract agreements can be honored, and ensures that all sponsored agreements conform to federal regulations, agency guidelines, and University policies.

Award Close Out - The act of completing all internal procedures and sponsor requirements to terminate or complete a research project.

Broad Agency Announcement (BAA) - An announcement of a federal agency's general research interests that invites grant proposals and specifies the general terms and conditions under which an award may be made.

Budget - A list of anticipated project costs that represents the best estimate of the funds needed to support the work described in a grant or contract proposal.

Budget Adjustment - The act of amending the budget by moving funds from one category or line item to another.

Budget Period - A subdivision (usually 12 months) of the overall duration of a project used to monitor budgetary and funding activities.

Budget Narrative / Budget Explanation / Budget Justification - A detailed, written explanation or description of each individual cost or item within a budget. This often includes a written description of the cost estimation methods used in preparing the budget as well.

Budget Revision - The act of amending the total account budget by allocating additional funds to categories or line items. Also called "rebudgeting."

Carryover / Carry Forward - The amount of unobligated balance of project funds remaining from the current budget period that are authorized by the Grants Officer for use in the current next budget period to cover allowable costs. A carryover must be requested in support of activities aligned with a grantee's existing project goals and objectives to cover costs not already incurred by the recipient. Requests to carryover unobligated funds should be submitted in a time frame that allows authorization prior to the end of project period.

Close Out - The act of completing all internal procedures and sponsor requirements to terminate or complete a research project.

Collaborator - Often confused with the term "consultant," a collaborator is a University employee who volunteers his/her knowledge and time to a research project without monetary compensation. Collaborating is an unpaid service, whereas consulting is a paid service by non-UNC-Chapel Hill employees.

Commingling - The act of mixing funds belonging to one party with those of another party, especially when a fiduciary has responsibility to keep the funds separated.

Conflict of Interest - A situation in which an investigator's outside financial interest(s) or obligation(s) (real or perceived) have the potential to bias a research project.

Consultant - Also known as an "independent contractor", a consultant is a non-UNC Chapel Hill employee who performs specific services on a research project for monetary compensation, with no direct control by the University regarding how the services are performed.

Continuation / Continuation Support - On-going support provided by an agency which has been awarded for more than one funding period. A continuation proposal is normally submitted at the end of each budget period to receive the next increment of funding. Continuation proposals may be "competing" or "non-competing" (and are commonly referred to as "renewals"). Applicable to grants and cooperative agreements only.

Contract - A written, legal agreement between the University and an awarding agency involving the expectation of a tangible product, service, or specific obligation (commonly referred to as a "deliverable") in return for sponsored support.

Cooperative Agreement - A sponsored agreement in which the sponsor acts as a partner to the University regarding a particular sponsored research project. The sponsoring agency is substantially involved in the programmatic or technical aspects of the sponsored activity. Deliverables are stated as part of the terms and conditions of the agreement.

CAS (Cost Accounting Standards) - Federally mandated accounting standards intended to ensure uniformity in budgeting, accounting and reporting project costs.

Cost-Reimbursement Contract/Grant - A contract or grant for which the sponsor pays for the full costs incurred in the conduct of the work up to an agreed-upon amount.

Cost Sharing - Any type of arrangement where more than one party financially supports a given sponsored project. The two types of cost-sharing include mandatory cost-sharing (required by the sponsor in the award terms and conditions) or voluntary cost-sharing, which is strongly discouraged because it is a financial liability to the University and future projects.

Delegated Authority - authorized individuals who may legally bind the University or obligate University resources.

Deliverable - A tangible product (reports, results, materials, etc.) defined in the terms and conditions of a contract, grant or cooperative agreement, produced by the award recipient and delivered to the sponsor of a research project.

Deobligation - The withdrawal of support under an award, in whole or in part, before the date of completion.

Direct Cost - Clearly identifiable costs directly related to a particular research project. General categories of direct costs include but are not limited to salaries and wages, subconsultants, contractual services, travel, and equipment. Such costs are defined in OMB Circular A-21, Principles for Determining Costs Applicable to Grants, Contracts, and Other Agreements with Educational Institutions. The University is required to abide by these principles.

DUNS Number - The unique nine-digit identification number assigned by Dun & Bradstreet identifying a specific business or entity.

Effort - The total amount of activity or work done by an individual for a particular project. Effort is expressed as a percentage of the full time equivalence (FTE) of a project.

Effort Reporting - A procedure mandated by the federal government to verify that direct labor charges to sponsored projects are reasonable and reflect actual work performed. Effort reporting shows the distribution of the effort of individuals among the various activities in which they work. Regular certification must be done by PIs who manage these projects. Effort reporting and certifications must also be done for other projects where individuals are paid across a variety of activities.

Encumbrance - Funds that have been set aside or “claimed” for projected expenses pending actual expenditure of the funds. Encumbrances reduce the available balance of an account.

EIN / Employer Identification Number - Also known as Federal Tax Identification Number.

Equipment - Generally, articles of non-expendable tangible personal property having a useful life and an acquisition cost which meet or exceed $5,000. Equipment is not a replacement part or component that returns a piece of equipment to its original condition. If a component increases the capability of the original equipment and has an acquisition cost that meets or exceeds the established equipment cost thresholds, it is considered a capital item.

eRA Commons - An electronic database provided by the National Institutes of Health (NIH) for administration of NIH grant proposals and awards, such as compliance requirements, applications, reports, forms, etc.

Export Control - Federal regulations that control the conditions under which certain information, verbal communication, technologies, and commodities can be transmitted overseas to anyone, including U.S. citizens, or to a foreign national on U.S. soil or abroad. To find out if technologies or data are controlled, check the Export Administration Regulations (EAR) and International Traffic in Arms Regulations (ITAR) control lists.

Extension - An additional period of time authorized by the sponsor (or awardee institution, as appropriate) to an organization for the completion of work on an approved grant or contract. An extension allows previously allocated funds to be spent after the original expiration date.

Extramural Funding - Research support from entities other than the University, administrated by those external sponsors.

Facilities and Administrative (F&A) Costs - Costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity. F&A costs are synonymous with Indirect Costs or overhead.

FastLane - The National Science Foundation web site for transactions (e.g. grant proposal submission) between a research organization, its researchers, and NSF.

Final Report - The final technical or financial report required by the sponsor to complete a research project.

Financial Disclosure - A PI must disclose direct or indirect financial interest in the sponsor of research funded by a non-governmental agency, the National Science Foundation, or the Public Health Service.

Fiscal Year (FY) - Any twelve-month period.

Fixed Price - A contract/grant for which one party pays the other party a predetermined price, regardless of actual costs, for services rendered. Quite often this is a fee-for-service agreement.

Fringe Benefits - Employee benefits paid by the employer (for example, FICA, Worker's Compensation, Pension, Insurance, and so forth).

Fundamental Research - Basic and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community.

Funding Cycle - Range of time during which grant proposals are accepted, reviewed, and funds are awarded. If a sponsor has standing grant proposal review committees (or boards) that meet at specified times during the year, application deadlines are set to correspond with those meetings. For some sponsors, if grant proposals are received too late to be considered in the current funding cycle, they may be held over for the next review meeting.

Funding Opportunity Announcement (FOA) - A publicly available document by which a federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. FOAs may be known as program announcements, requests for applications, notices of funding availability, solicitations, or other names depending on the agency and type of program.

Grant - A type of financial assistance awarded to an organization for the conduct of research or other program as specified in an approved grant proposal. A grant, as opposed to a cooperative agreement, is used whenever the awarding office anticipates no substantial programmatic involvement with the recipient during the performance of the activities.

Grants.gov - The central portal that the Federal Government is implementing for grant submissions.

Grant/Contract Officer - A sponsor's designated individual who is officially responsible for the business management aspects of a particular grant, cooperative agreement, or contract. Serving as the counterpart to the business officer of the grantee/contractor organization, the grant/contract officer is responsible for all business management matters associated with the review, negotiation, award, and administration of a grant or contract and interprets the associated administration policies, regulations, and provisions.

Human Subject - Defined by the U.S. Department of Health and Human Services as a living individual about whom a research investigator (whether a professional or a student) obtains data through systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge. For more information see the Office for Human Research Protections and the Food and Drug Administration. University oversight of human subjects research is delegated to the Institutional Review Board (IRB).

Incremental Funding - Usually applicable to contracts, incremental funding provides specific funded increments and sets spending limits below the total estimated costs. These limits may be exceeded only at the University's own risk. The legal liability of the sponsor to make payments is limited to the incremental funds provided.

Independent Contractor - A person who contracts to do work for an employer according to his or her own processes and methods; the contractor is not subject to another's control except for what is specified in a mutually binding agreement for a specific job.

Indirect Costs (also known as Facilities and Administrative Costs or Overhead) - Allowable costs that are incurred for common or joint objectives that are associated with a project but cannot be solely attributable to that project alone. Such costs include shared expenses such as general administration operations (accounting, payroll, purchasing, etc.), sponsored project administration, plant operation and maintenance, library expenses, departmental administration expenses, depreciation or use allowance for buildings and equipment, and student administration and services. All F&A cost rates are negotiated with the Federal Government in conjunction with the agency providing the award.

In-kind Funds - Contributions or assistance in a form other than money. Equipment, materials, or services of recognized value that are offered in lieu of cash.

Intellectual Property - “Intangible property” that is the product of research. Examples include copyrights, trademarks, patents, and trade secrets. Although each is a separate area of law, governed by different federal and state laws concerning ownership, all are designed to provide some protection against others from misappropriating the products and ownership of intellectual creativity.

Interim Funding - Authorization to expend funds on a project to a specified limit before the award document has been received from the sponsor.

Just-in-Time - Funding agencies may require additional information after a grant proposal is submitted and before an award is made. Such information may include verification of human subjects and/or animal subjects protocol approval, documentation of required human subjects training, revised budget information, and an up-to-date listing of additional sponsored research support for the same project.

Key Personnel - Personnel considered of primary importance to the successful conduct of a research project. The term usually applies to the senior members of the project staff; however, sponsors may have differing definitions.

Letter of Intent - A letter of intent advises a funding agency that an application will be submitted in response to their solicitation. The letter may contain general program information, unofficial cost estimates, and a request for specific application guidelines, instructions, and forms.

Limited Submissions - A restriction placed on the number of grant proposal submissions allowed from any given institution. At UNC-Chapel Hill, an internal selection process is used to identify and fairly judge among numerous investigators interested in submitting applications for such submissions. The Office of Research Development (ORD) is responsible for identification, sends alerts to the research community, and administers the selection process.

Logic Model – A planning tool to clarify and graphically display what your project intends to do and what it hopes to accomplish. A logic model summarizes key program elements, explains the rationale or purpose behind a program or project plan, identifies inputs or resources and infrastructure support, lists activities or interventions, indicates outputs or evidence of performed activities, and clarifies intended outcomes and goals. Also known as a logical framework, theory of change, or program matrix.

Matching Funds - Funds obtained from other sources to increase the level of support provided by the granting agency. The granting agency will provide additional funds equal to the private matching funds raised for the project. Normally, this is done on a dollar-for-dollar basis. Federal funds may not be used for matching on another federal project. Unlike cost sharing, neither personnel effort against the project nor reduction in indirect costs can be used for the matching component. Some federal agencies require matching in order to receive an award.

Matching Grant - A grant that requires a specified portion of the cost of a supported item of equipment or project be obtained from other sources. The required match may be more or less than the amount of the grant. Some matching grants require that the additional funds be obtained from sources outside the recipient organization. Many matching grants are paid in installments, the payments coinciding with the attainment of pre-specified levels of additional funding.

Memorandum of Agreement (MOA) / Memorandum of Understanding (MOU) - A contractual arrangement between the University and a corporate sponsor that stipulates the terms and conditions under which specific work is performed; these terms and conditions include scope of work, period of performance, payments, patents, publications, advertising, use of experimental compounds or drugs, human subjects, indemnifications, and reports.

Modified Total Direct Costs (MTDC) - F&A costs on federally sponsored projects are generated against MTDCs, which are Total Direct Costs (TDCs) less equipment, internal patient care charges, scholarships, fellowships, and other student aid, and subgrants and subcontracts over $25,000.

Narrative Report (can also be called a **Progress Report**) - A report submitted by a PI on the progress and/or status of a project supported by sponsored funds. Narrative reports are part of the conditions of many sponsored agreements and are also known as “technical” or “progress” reports. They may be requested for submission as an interim report, with continuation proposals, requests for supplemental funding, or at the termination of a sponsored project.

New Award - An award not previously awarded or a renewal or continuation award treated as a new award by the sponsor and given a new agency number.

No-Cost Extension - An extension of the period of performance beyond the expiration date to allow the PI additional time to finish a project. Usually, no additional funding is provided by the sponsor. May be handled internally via Federal Standards Research Terms & Conditions in certain circumstances or sought externally from the sponsor.

Non-Compliance - Failure to follow and meet regulatory requirements, often resulting in massive fees to the University and the individual researchers. Non-compliance is detrimental to the entire University research community and is highly undesirable.

Nondisclosure Agreement (NDA) - An agreement between two or more parties which describes knowledge the parties would like to share with each other for a defined purpose in which they agree to not disclose information covered by the agreement. NDAs are also known as Proprietary Information Agreements (PIAs) or Confidential Disclosure Agreements (CDAs).

Office of Animal Care and Use (OACU) - The division at UNC-Chapel Hill responsible for overseeing the use and care of animals used for research.

Office of Human Research Ethics - The division at UNC-Chapel Hill responsible for ethical and regulatory oversight of research involving human subjects.

Office of Sponsored Research (OSR) - The University office responsible for oversight, administration and financial management of contracts and grants.

OMB Circulars - Regulatory circulars issued by the Office of Management & Budget (OMB). Definitions included in OMB Circulars A-21, 110 and 133.

Pass-Through Entity - a non-federal entity that provides an award to a sub-recipient to carry out specific effort or a statement of work on a sponsored project. The University is referred to as the "prime recipient" of the pass-through funds. The secondary recipients are referred to as a "sub-recipient".

Peer Review - A system using reviewers who are the professional equals of the PI responsible for directing or conducting the proposed project. It is a form of objective review. Peer review is legislatively mandated in some programs and in other programs is administratively required.

Period of Performance - In a sponsored award, the time period during which the proposed work will be completed and the funds awarded are available for expenditure by the recipient.

Pre-Award – The time period and associated processes that occur between conceptualizing and designing the study, applying for funding, and award notification.

Pre-Award Account - An account that is established in the University's accounting system prior to the award documents being received from the funding agency. Such accounts are limited for a set period and are not assigned a budget.

Pre-Proposal - A brief description, usually 2-10 pages, of research plans and estimated budget that is sometimes submitted to determine the interest of a particular sponsor prior to submission of a formal proposal. Pre-proposals that are binding require institutional approval. Also termed Preliminary Proposal.

Post-Award - The time period and associated processes that occur between award notification and award close-out.

Prime Sponsor - The external funding source from which funding originated.

Principal Investigator (PI) - The individual responsible for leading the research effort described in a grant proposal for an award. The PI is responsible for the programmatic and administrative aspects of a project or program, ensuring all terms and conditions of a sponsored agreement are met.

Prior Approval - The requirement for written documentation of permission to use project funds for purposes not in the approved budget, or to change aspects of the program from those originally planned and approved. Prior approval must be obtained before the performance of the act that requires such approval under the terms of the agreement.

Program Officer - The sponsoring agency's representative who is responsible for the technical, scientific, or programmatic aspects of a particular grant, cooperative agreement, or contract. The program/project officer works with the PI and research team to assure programmatic progress. He/she does not officiate over financial matters, however, which is the role of a Grants/Contracts Officer.

Progress Report - Periodic, scheduled reports required by the sponsor summarizing research progress to date. Technical, fiscal, and invention reports may be required. Also refer to Narrative Report.

Project Period - The total time for which support of a project has been programmatically approved. A project period may consist of one or more budget periods.

Program Income - According to 2 CFR 200 (Uniform Guidance), program income is gross income earned by the University that is directly generated by a sponsored activity or earned as a result of an award during the period of performance. If a product or service is developed during the course of a sponsored project and the development of that product or service was funded by a sponsoring agency, then the net income received is considered program income.

Proposal - A formal application for funding that contains all information necessary to describe project plans, staff capabilities, and funds requested. Formal grant proposals are prepared by the PI and officially approved and submitted by OSR on behalf of the University. Proposals at UNC-Chapel Hill are maintained electronically through RAMSeS (Research Administration Management System and electronic Submissions).

Proprietary Information - Research sponsored by a non-governmental entity or individual that involves restrictions on the distribution or publication of the research findings or results following completion, for a specified period or for indefinite duration.

Reasonable Cost - A cost may be considered reasonable if the nature of the goods or services acquired or applied, and the amount involved, reflect the action that a prudent person would have taken under the circumstances prevailing at the time the decision to incur the cost was made.

Request for Application (RFA) - An announcement of research priorities by a sponsor. The sponsor has set aside a certain amount of money to fund grants on a particular topic. The applicant describes the research to be undertaken and how he/she will accomplish the work within the framework outlined by the sponsor.

Request for Proposal (RFP) - Announcements that specify a topic of research, methods to be used, product to be delivered, and appropriate applicants sought.

Research - The systematic inquiry or investigation into a subject to discover or revise facts, theories, or applications.

Restricted Funds - Funds awarded to the University from outside sources for restricted purposes.

Scope of Work - The description of the work to be performed and completed on a research project.

Senior Personnel - Professional personnel who are responsible for the scientific or technical direction of project.

Signature Authority - The authorization delegated to a University official to enter into legal commitments on behalf of the University regarding sponsored research agreements for grants, contracts, and cooperative agreements.

Sponsor - The organization or entity that funds a research project.

Sponsored Research / Sponsored Project - Research activity supported by resources outside the University, including both federal and non-federal sources.

Statement of work - Description in detail of the timeline, planned effort, and deliverables associated with a project.

Subcontract, **Subgrant**, or **Subagreement** - A document written under the authority of, and consistent with the terms and conditions of an award (a grant, contract, or cooperative agreement), that transfers a portion of the research or substantive effort of the prime award to another institution or organization.

Sub-recipient – Sub-recipients include sub-grantees, contractors, or collaborators responsible for carrying out the funded research under the terms of their subcontract or agreement. A sub-recipient relationship exists when funding from a pass-through entity is provided to perform a portion of the scope of work or objectives of the pass-through entity's award agreement with the awarding agency.

Supplemental Proposal - A request to the sponsor for the additional funds for an ongoing project during the previously approved performance period. A supplemental proposal may result from increased costs due to modifications in design or a desire to add a closely related component to the ongoing project.

Supplemental Funding - Increased costs, modifications in design, or a desire to add a closely related component to the ongoing project — all within the previously approved performance period — may result in a request for supplemental funds from the sponsor. A supplement may be subject to a different F&A cost rate than the parent award. If so, determine if any specifications or restrictions are identified and if a new account must established and assigned.

Terms of Award - All legal requirements imposed on an agreement by the sponsor, whether by statute, regulation, or terms in the award document. The terms of an agreement may include both standard and special provisions that are considered necessary to protect the recipient's and sponsor's interests.

Total Direct Costs - The total of all allowable direct costs of a project.

Total Project Costs - The total allowable direct and indirect costs incurred by the institution to carry out an approved project or activity.

Unallowable Costs - Unallowable costs are specific categories of costs that cannot be charged, directly or indirectly, to federally sponsored agreements in accordance with federal regulations.

Uniform Guidance - Common term used when referring to 2 CFR 200 implemented by federal agencies on 12/26/2014 to govern the expenditure of federal awards. 2 CFR 200 replaces OMB Circulars A-21, A-110 and A-133 in addition to five other OMB circulars.

Unrestricted Funds - Moneys with no requirements or restrictions as to use or disposition. Grants, contracts, and cooperative agreements are considered to be restricted funds, while gifts are usually considered unrestricted funds.

Unsolicited Proposal - A proposal submitted to a sponsor that is not in response to a Request For Proposal (RFP), Request For Application (RFA), or program announcement.

Vendor - An individual, business, or other entity which supplies products or services to the University.

Voluntary Cost Sharing - Cost sharing that is not required by Federal statute or by established sponsor policy, which is in excess of stated requirements.

Waiver - Intentionally relinquishing or abandoning a known right, claim or privilege, such as waiving certain costs or F&A rates. For sponsored research purposes, waivers are strongly discouraged because they place the University in jeopardy of giving research dollars away unnecessarily, which can cause a shortage of funding for future projects.

Appendix E: Case Example – The ACCURE Partnership

ACRONYMS

ACCURE	Accountability for Cancer Care through Undoing Racism and Equity
GHDC	Greensboro Health Disparities Collaborative
TPP	The Partnership Project, Inc.
CCARES	Cancer Care and Racial Equity Study
CHCC	Cone Health Cancer Center
UPMC	University of Pittsburgh Medical Center
NIH	National Institutes of Health
NCI	National Cancer Institute

1. What is your study title, purpose, and who are your organizational partners (academic and community)?

Study Title: Accountability for Cancer Care through Undoing Racism and Equity (ACCURE)
Organizational Partners:

- Greensboro Health Disparities Collaborative,
- UNC-Chapel Hill's Center for Health Promotion and Disease Prevention,
- The Partnership Project, Inc.,
- Cone Health Cancer Center,
- University of Pittsburgh Medical Center

Purpose: To investigate how the healthcare institution can be enhanced through systems interventions to reduce racial inequity in the quality and completion of treatment for Stage 1-2 breast and lung cancer patients.

2. What type of communication did you have with your partners once the RFA was published?

UNC Principal Investigators, Drs. Eng and Cykert, emailed the score and reviewers' comments received from NCI on the initial R01 application to: TPP's Executive Director and Board Chair, CHCC's' VP for Oncology and Medical Director, and UPMC's 2 lead investigators (all of whom are members of GHDC). Eng and Cykert met with them separately, either in-person or by phone, to discuss: (a) NIH policy and procedure for revising and resubmitting an application; (b) newly announced changes in NIH guidelines on R01 narrative page limit, sections, and appendices; and (c) a potential timeline for our resubmission. Having received their agreement to resubmit, Eng and Cykert then presented the same information to the full body of GHDC for their final decision on revising and resubmitting. At this time, volunteers were solicited to be actively engaged in writing and reading the application.

3. What processes did you put in place as you worked on the pre-award process?

Eng designated a Graduate Research Assistant to create two tables that would display the scope and detail of revisions that would be needed for the resubmission. One table compared the old NIH guidelines for writing the narrative with the new guidelines. A second table listed each comment made by reviewers in one column and inserted in the 2nd column, relevant text from the initial narrative. An editing team used these tables to reduce the size of the initial 25-page application, given the new 12-page limit guideline, by removing redundant/non-relevant text and highlighting sections to be revised. Members of the editing team were the 2 Co-PIs, biostatistician, and 2 representatives from the community partner organization.

Eng and Cykert then met with the Center's Deputy Director for Research Development to create a time table of tasks, deadlines, and person taking the lead for the multiple parts required for the resubmission to the UNC Office of Sponsored Research, and ultimately to NCI.

These 3 tables were distributed to representatives from GHDC and each partner organization in preparation for a conference call at which: (a) persons volunteered for the various tasks; (b) designated a lead person; and (c) agreed on the time for a regularly scheduled weekly conference call. The task groups formed included: Literature Review, Research Questions, Study Design & Methods, Patient Recruitment & Enrollment, Real-Time Registry, Navigator Training & Role, Physician Champion Role, Clinical Performance Report, Healthcare Equity Training, References, Human Subjects, Budget & Justifications, Biosketches, Support Letters, and Appendices.

Weekly conference calls were scheduled for the task groups to coordinate their respective contributions. Eng served as the point person for receiving drafts and editing them into a single document. The conference calls met throughout the December holiday season in order to be prepared for the early year application deadline.

4. What were some of the lessons learned in the pre-award process that would be important for other community partners and researchers to know (when submitting a proposal to a federal funding agency)?

Lessons Learned Pre-Award for Community Partners

- **Knowing which qualifications are required matters.** The same accountant who managed the funds for the previous research study among the same partners for an R-21 subcontract was not qualified to manage the funds for an R-01 subcontract, according to federal grant guidelines. Therefore, the Executive Director had to make the hard choice of not renewing the services of the long-term treasurer of their non-profit, in order to put out a job announcement and to hire a certified accountant in preparation for managing the R-01 funds.
- **Hosting a Planning Retreat for understanding of next steps.** The long-term Executive Director of the non-profit organization, who was named on the proposal as the Subcontract Site Director, became sick and died before the grant was awarded. She had been a major visionary and leader for the non-profit to get them to this point. Therefore, at the beginning of a new project a new vision was needed regarding the management of the non-profit in her absence. Planning and implementing a 1.5-day retreat for board members was helpful to direct and refocus the community partners on what needed to be done to carry out the work of managing the subcontract of the R-01 and the work of the non-profit simultaneously.

Lessons Learning Pre-Award for Academic Partners

- **Explaining and repeating the vision in person.** Academic partners had to reestablish credibility with several new partners in the healthcare institution by meeting with them face-to-face to explain how we planned to design and implement various aspects of our R-01 research study. They traveled to each research site, organized meetings including some community partners, in order to describe what would happen over the next five years in this project. They had to explain the vision of the project to medical oncologists, hospital administrators, to Cancer Registry Coordinators, and the hospital Information Technology Specialist.

Lessons Learned Pre-Award for Healthcare Institutions

- **Recognizing opportunities to fulfill institutional missions comes in different forms.** Even if there is a change in healthcare administrative leadership, we can still seize the opportunity to build on the research partnership relationships that were built before the change in staff occurred in order to fulfill new directions of the healthcare mission statement. For instance, both key personnel at Cone Health who helped to write the ideas and plans for ACCURE, retired before ACCURE was awarded (the Vice President and Medical Director of the Cancer Center). By accepting the opportunity to implement ACCURE, it allowed the healthcare institutional partner to meet their state goals of using their cancer registry for research, and it helped to fulfill their mission of working to eliminate racial health disparities by providing excellence with caring. A press release to announce this new research project would be helpful for the hospital's public relations and marketing goals.

5. How successful were you in meeting your pre-award project timeline? Did you have one?

We were successful in meeting our timeline, which is due in large part to having worked closely with the Center's Deputy Director for Research Development to prepare in advance the detailed timetable, join the Budget & Justification Task Group, and participate in the weekly conference calls to track our progress in meeting the deadlines.

6. What did you and your partners do while you waited to hear your score from the funding agency? Was your community partner aware of how long it would take to hear from the funding agency?

Before ACCURE was awarded, the GHDC had completed an exploratory CBPR-research study between 2007-2009 called CCARES (Cancer Care through Undoing Racism and Equity) to document if and how race-specific inequities exist in transparency and accountability for quality and completion of breast cancer care. It was funded through the National Cancer Institute's R21 funding mechanism. The funded partners were The Partnership Project, Inc., UNC-Chapel Hill, and Cone Health's Cancer Center.

After CCARES, the GHDC knew it still had work do to, because outcomes in all areas of health care were not equal. The members pledged to fulfill their mission of "establishing structures and processes that respond to, empower and facilitate communities in defining and resolving issues related to racial disparities in health." Thus, the GHDC continued to meet monthly to strategize what could be done, even without funding. Plans were made to:

a. **Disseminate "lessons learned" from the previous research experience at professional conferences.** The Executive Director of the Partnership Project and the former Project Coordinator of the exploratory research project gained the support of the GHDC to present an oral presentation at the American Public Health Association Annual National

Meeting on the sustainability of the GHDC to do Community-Based Participatory Research. The title of their presentation at the Black Caucus Healthcare Workers session was, "CBPR: Is it Working for Us?"

b. **Act on the concerns expressed by the participants in the previous project, and fill gaps in support needs for African American breast cancer survivors.** After CCARES concluded in 2009, a few members of the GHDC worked diligently to establish the Sisters Network, Inc. Chapter in Greensboro, which was a direct response to the need that the Black research participants expressed in the CCARES project. The Sisters Network Greensboro Chapter was established in 2010 and meets monthly to increase local attention to the devastating impact that breast cancer has in the Black community.

c. **Organize and build relationships with other community leaders within other communities of color.** Since the Greensboro Health Disparities Collaborative was set-up to respond to racial disparities in health, we wanted to build partnerships that would allow us to help promote health of all communities of color. Thus far the GHDC had only focused on eliminating health disparities between African Americans and Whites. Therefore, plans were made to build more relationships with leaders within Latino communities in order to focus on health promotion and health equity within this population. Several members attended local community groups which were formed primarily to address needs in the Latino community. While waiting to hear the score for the ACCURE grant, we worked to prepare for another partnership grant that would work on Latino health concerns.

d. **Continued to support the non-profit partner in helping them to meet their mission in order to strengthen their organization.** The Partnership Project, Inc. is a 501 (c) 3 organization that focuses on delivering Undoing Racism™ and Racial Equity Trainings in the greater Greensboro area in order to raise the consciousness of people in Greensboro on how to address structural and institutional racism. It is this training that served as a basis for the principles used to design the ACCURE interventions around institutional transparency and accountability. While waiting on the score for the funding of ACCURE, members continued to advertise for the workshops and strategically ask/invite community leaders to attend the workshop.

7. What is the first thing that you and your partners did once you received a notice of grant award?

- Submitted an IRB modification in order to be free to conduct a retrospective analysis of the past 5 years of cancer registry data, and in order to make baseline assessments of current Navigation practices.
- Formed a press release development committee with the GHDC members, which drafted how we wanted our project to be announced in the local newspaper, and through the medical site newsletters.
- Our UPMC Site Director traveled to North Carolina to attend an Anti-Racism training and to meet with new partners.
- Our Co-PIs traveled to Greensboro to meet with key personnel in the ACCURE project and to present an overview of the study to site administrators, breast and lung cancer providers.
- One of our Co-PIs traveled to UPMC to be a presenter at Medical Grand Rounds, and to introduce the study.
- Our Project Manager conducted interviews with breast and lung cancer survivors to understand the current operations of Navigators before our ACCURE Navigator began. The project manager also shadowed the current Navigators at one site on clinic and non-clinic days in order to document the current daily tasks.

8. What were the positive relationship elements that you can share in how you worked with the academic business offices in preparation for the grants management? What things do you feel investigators should know or do to help their project?

To prepare for the management of the grant, it was positive that the project manager had established a good communication and relationship with the Business Office's Human Resources Manager. The human resources manager explained various business operation procedures and processes within the academic institution that allowed for the smooth management of personnel and research activities which would be under the responsibility of the project manager.

Although the bulk of the research activities to be implemented were away from the university at the medical partner sites, it was important that there was a plan for the project manager to work one day a week at the academic center where the research business office was located. This allowed for face-to-face meetings to easily occur between the Project Manager and the Accountant assigned to organize the expenses in our grant. Quick 10-15 minute face-to-face meetings helped to clear up any misunderstandings regarding budget reports that were sent via email, or questions the business office had about any of the research partners.

It was also positive that one of the Co-Principal Investigators had a long-term working relationship with the Business Office's Assistant Director of Research. They had worked on previous grants together; therefore, knowing one another's working styles and capacity made it easier to know how to communicate and prepare for annual budget renewals and reports. Also, their relationship assisted in educating the key research personnel and business office team on how a CBPR project is developed and how it ideally operates.

9. What type of community partner reimbursement scheme was used?

UNC-Chapel Hill was the prime recipient of the NIH grant award. UNC-Chapel Hill set-up annual subcontracts with each partner organization regarding how to distribute the funds needed to manage responsibilities in this research project.

For our healthcare institutions, we set-up quarterly or bi-annual reimbursement methods of payment.

For our community partner organization, we set-up a cash advance payment method, which was scheduled to occur every two months. This was a unique arrangement, since universities typically do not provide cash advances to partner organizations. This arrangement was necessary because of the small size of the operating budget for the established community partner organization. The decision to approve this was planned through a meeting that was held among representatives from the business office of the UNC-Chapel Hill's Center for Health Promotion and Disease Prevention, representatives from the UNC-Chapel Hill Office of Sponsored Research, and the ACCURE Co-Principal Investigator and Project Manager.

This decision to allow a cash-advanced payment method was based on the unique mandates of the original request for proposal from NIH. The NIH Request for proposal required the academic organization to partner with a community organization with whom an established relationship was built through previous preliminary research. That established relationship between the organizations from prior exploratory research would allow the Community-Based Participatory Research approach to be used. Therefore, in order for the particular UNC-Chapel Hill investigators to obtain this particular grant award, it required having this particular non-profit as its partner (since the working-relationship was established) in order to obtain this grant award.

10. Do you feel that the fiduciary management of the project impacts the actual research project? In what way?

Yes, the fiduciary management of the project impacts the actual research activities. There were times in the project where money was not received when expected and needed by the non-profit organization, and individuals donated significant amounts of money from their personal funds in order to keep the project activities moving forward. Those experiences brought mistrust into the research partnership relationship between academic and community investigators.

The non-profit organization asserted, at least twice, that the research activities (such as interviewing participants and compensating the interviewee and the interviewer) had to stop until the fiduciary management was flowing smoothly again. If compensation was halted to interviewees, then this could have been a serious detriment to the trust established with the medical institutions, which is where we had access to our research subject population. When those instances occurred, fiduciary management quickly moved to correct the situation, in order for the research activities to continue.

Along with the lack of money being available when needed, there were accusations of the community partner not organizing their finances as requested by the University. However, the University changed ways in which they requested the expenses to be reported, due to the Office of Sponsored Research asking the academic research center to obtain more fiduciary details from their community partners. These misunderstandings of expectations slowed the process of transferring needed funds into the community partner organization who was compensating the activities of the research project.

These experiences of mistrust decrease interest in future partnership research work by this non-profit, and therefore, works against the principles that CBPR promotes regarding empowering communities to use academic-community research as a part of the strategy to improve the health conditions of the populations they serve.

However, based on the strong foundational relationship between the Principal Investigators, the Project Manager, and the Community Investigators, there was opportunity to seek clarity on misunderstandings, share alternative solutions to problems, and strengthen working relationships in order for the research activities to continue on schedule — restoring trust among the entire partnership.

Appendix F: Case Example – NO CLOTS Study

1. What is your study title, purpose, and who are your organizational partners (academic and community)?

N*ew* **O***utlooks for* **CL***ot-related* **O***ngoing* **T***esting* **S***trategies (NO CLOTS study)*

The purpose of the study was to assess the medical outcomes (new blood clots, bleeding, and death) and quality of life in patients taking an anticoagulant who were randomized to one of two groups, self-testing or in-clinic testing of PT/INR (Prothrombin Time and International Normalized Ratio)

2. What type of communication did you have with your partners once the RFA was published?

We first had to consider who would be affected by the outcomes of our study. Patients taking anticoagulant medication, providers with patients on anticoagulants, and community groups interested in health issues first came to mind. After further assessment, we realized that it would be important to bring the device manufacturers, patient advocacy organizations, and medical educators to the table.

3. What processes did you put in place as you worked on the pre-award process?

We met with each of the stakeholder groups in person. At each meeting, we provided a one-page description of the proposed project and a PowerPoint presentation that summarized the rationale for the study and described the academic members of the team. After the presentation, the stakeholder group provided feedback on the design and endpoints of the study. We listened carefully to the input provided and took extensive notes that were summarized after the meeting and sent to the stakeholders for review and comment.

4. What were some of the lessons learned in the pre-award process that would be important for other community partners and researchers to know? (when submitting a proposal to a federal funding agency)

We learned that stakeholder input helped us better define our research questions and design. We identified new outcomes that would be important to assess, such as quality of life and health literacy. Additionally, we learned that each group brought a unique perspective to the process.

5. How successful were you in meeting your pre-award project timeline? Did you have one?

We had a very clearly delineated timeline that was designed to meet each of the deadlines identified in the funding opportunity announcement. Meetings with stakeholders were scheduled so that all deadlines could be met.

6. ***What did you and your partners do when you waited to hear your score from the funding agency? Was your community partner aware of how long it would take to hear from the funding agency?***

The partners were aware of the amount of time between proposal submission and the award announcements. We did not engage with our stakeholders in the interim.

7. ***What is the first thing that you and your partners did once you received a notice of grant award?***

We sent an email to all of our stakeholders immediately after receiving the notice of award. Within the first month after the award was received, we met face to face with all of our stakeholders in a two-hour meeting to discuss the implementation of the study. We received input on initial practice and patient recruitment materials and other activities related to the initiation of the study. We reviewed the paperwork that would be required by the University in order to pay each stakeholder for participation in meetings. We also established a timeline for future meetings.

Furthermore, shortly after receiving the news of the award, we learned that we would have to establish a subcontract with one of our stakeholders categorized as a vendor during the proposal process. This process took quite a bit of time. We also learned that we would have to establish the device manufacturer as a sole source vendor.

8. ***What were the positive relationship elements that you can share in how you worked with the academic business offices in preparation for the grants management? What things do you feel investigators should know or do to help their project?***

We always work closely with our business office, who is our liaison to the Office of Sponsored Research (OSR). Between pre- and post-award, there were changes in the legal staff at OSR, which led to a change in the business relationship between UNC and one of our stakeholders. They were required to execute a subcontract with UNC. This is an example of an unexpected change that was necessitated as result of a policy change.

9. ***What type of community partner reimbursement scheme was used?***

For the pre-award process, we were not able to provide compensation. After the award, we paid each stakeholder $75/hour for participation in meetings and conference calls.

10. What was the closeout process like? What were lessons learned about that process in the context of the current project as well as future collaborations?

The timely completion of required paperwork and submission of invoices is very important. As the end of the project period drew near, this was particularly important. Fortunately, our research assistant was able to prompt any stakeholder who was behind. The necessary materials were received.

In the future, we will continue to emphasize to our partners the importance of timely submission of forms and other required paperwork, as well as the content that is required by the University. We provide templates for submissions (that do not have a pre-designed format) that make it clear what information is required.

11. Do you feel that the fiduciary management of the project impacts the actual research project? In what way?

In our case, the delay in contract execution with one of our stakeholders did not impede the implementation of the project. However, it could have resulted in a significant delay in the project had the stakeholder been unwilling to participate in the interim.

Appendix G: Letter of Support Template

[Organization's Letterhead]
[Organization Name]
[Organization Address]

[Date]

[Principal Investigator's Name]
[Principal Investigator's Title]
[Principal Investigator's Address]

Dear [Principal Investigator's Last Name],

This letter is in support of your application for a [Name of Grant, Grant #] to conduct a [provide a description of the grant project].

[Provide a description of your organization, its mission and goals].

[Explain why your organization is endorsing this grant and what your organization plans to do to support it.]

[Conclude with a recommendation to endorse the grant].

Sincerely,
[Community Partner Signature]
[Community Partner Name]
[Community Partner Title]

Sample Letter of Support from a Hypothetical Community Organization

North Carolina Hypertension and Diabetes Alliance
100 Dandelion Way
Chapel Hill, NC 55555

July 28, 2015

Dr. John Doe
Research Associate Professor
Department of Health Behavior
UNC Gillings School of Global Public Health
University of North Carolina at Chapel Hill
Chapel Hill, NC 27599

Dear Dr. Doe,

This letter is in support of your application for an NIH Support for Conferences and Scientific Meetings (R13) grant to conduct an Evidence Academy in Eastern North Carolina on the topic of hypertension prevention, control, and treatment. This Evidence Academy will be a one-day conference with a goal to present advances in hypertension research, practice and policy and create a co-learning experience for an interdisciplinary team of individuals to guide adoption of those advances in Eastern NC.

The North Carolina Diabetes and Hypertension Alliance (NCDHA) is a nonprofit organization dedicated to improving and sustaining the health of patients diagnosed with both diabetes and hypertension through educational intervention programs to better manage the effects of living with both chronic conditions and involvement in community-engaged research opportunities.

The NCDHA board chose to endorse this project because it aligns with our mission of patient education, especially as it relates to hypertension treatment and control. We plan to support the conference by participating in the conference Steering Committee, assisting with recruitment of participants through our patient networks, and providing an exhibit table highlighting our educational programs and materials. Members of our staff have previously been involved as consultants on a UNC study focused on hypertension management so we are confident that we can provide advice and recruitment assistance for this UNC research project. We hope that the conference will empower patients with the knowledge and skills to better manage their hypertension and increase their awareness of how to become involved in research opportunities as patient stakeholders.

Again, it is my privilege to recommend for funding your NIH R13 application for an Evidence Academy to coordinate and enhance research, practice and policy to reduce hypertension in Eastern NC.

Sincerely,

Jane Flowers, M.D.
Executive Director

Appendix H: Subcontractor Letter of Commitment

Sample Outgoing Subcontractor Commitment Letter

Instructions: Please provide this letter as a template/guideline to other entities participating as subcontracts under UNC-Chapel Hill's prime award. Have the subcontractor/organization fill in the blank areas and those areas marked in ***BOLD ITALICS***.

Organization Letterhead

Organization Name

Organization Address

Date
The University of North Carolina at Chapel Hill (UNC-Chapel Hill)
Department Address

Reference: ***Response to solicitation/RFP/RFA number _______, entitled _______, dated _______***

Dear __________,

This letter confirms that the appropriate program and administrative personnel at ***Organization*** have reviewed the above referenced Solicitation/RFP/RFA and are committed to enter into a subcontract with The University of North Carolina at Chapel Hill (UNC-Chapel Hill) for the performance period of ___ to ___. The work to be performed by ***Organization*** __ does __ does not include __ animal and/or ___ human research subjects. The UNC-Chapel Hill Principal Investigator on this proposal is ____. ***Organization*** __does __ does not maintain an active and enforced conflict of interest policy meeting the requirements of 42 CFR Part 50, Subpart F and 45 CFR Part 94.

Organization's budget, budget justification and scope of work are provided as separate enclosures to this letter. The estimated cost of the proposed subcontract will not exceed $_______ and includes appropriate direct and indirect costs.

Furthermore, by submission of this commitment letter, ***Organization*** and its Principal Investigator (PI) certify (1) that the information submitted within the application is true, complete and accurate to the best of the ***Organization's*** and PI's knowledge; (2) that any false, fictitious, or fraudulent statements or claims may subject the **Organization** and PI to criminal, civil, or administrative penalties; and (3) that the PI agrees to accept responsibility for the scientific conduct of the project and to provide the required progress reports if an award is made as a result of UNC-Chapel Hill's application.

If you have any questions, please contact the undersigned at ______.

Sincerely,

Signature of Authorized Organization Official ***Signature of Principal Investigator***

Enclosed:
Budget, Budget Justification, Scope of Work

Appendix I: Invoice Template Example

Add logo or letterhead if possible.

INVOICE

BILL TO:
Principal Investigator Name
Project Title
Address
City State Zip

FROM:
Name
Organization Name, if applicable
Address
City State Zip

Date	Description of Service(s)	# of hours/items (if applicable)	Cost per hour/item (if applicable)	Total
			TOTAL DUE:	

Invoice Amount:

Make all checks payable to: Person or Organization Name

SSN or Tax ID #: ______________________________

Submit Payment to: Name
Organization Name (if applicable)
Address
City State Zip

If you have any questions concerning this invoice, contact: Name and contact information

______________________________   _____/_____/_____
Signature   Date

____
Print Name

Appendix J: Biosketches

What is a biosketch and how does it differ from a Curriculum Vitae, or CV?

A biosketch is used to briefly highlight your education and accomplishments as a scientist. A CV is a detailed overview of a person's life and qualifications, and elaborates on your education and professional history, including all employment, academic credentials, and publications, etc. Information for the biosketch is often drawn from the CV.

Most sponsors will require that a biosketch be submitted as part of the application when applying for grants or contracts. At a minimum, most sponsors require a biosketch for people designated with the Principal Investigator or Project Director role. A biosketch may also be required for senior/key personnel and others who significantly contribute to the project.

Always remember to check the sponsor's requirements. Reviewers use this information to assess each individual's qualifications for a specific role in the proposed project.

The following are two fictitious examples of biosketches from community partners.

BOX C

On the new NIH biosketch, there are two changes that provide spaces for community partners to highlight their contributions:

1. Opportunity to add new "products of scholarship," such as:
   - Non-publication research products (with electronic links displayed, if relevant)
     - Can include audio or video products; patents; data and research materials; databases; educational aides or curricula; instruments or equipment; models; protocols; and software or netware that are relevant to the described contribution to science.
   - Products of interdisciplinary scholarship
   - Products of engaged scholarship
   - Products of creative activity such as performances and exhibitions
   - Digital and other novel forms of scholarship (with electronic links displayed, if relevant)
2. A personal statement has been replaced by up to three new statements on teaching, research, and service.

Biosketch Fictitious Example 1

OMB No. 0925-0001/0002 (Rev. 08/12 Approved Through 8/31/2015)

BIOGRAPHICAL SKETCH

Provide the following information for the Senior/key personnel and other significant contributors.
Follow this format for each person. **DO NOT EXCEED FIVE PAGES**.

NAME: Johnson, Ralph

eRA COMMONS USER NAME: (credential, e.g., agency login): johnsonrp

POSITION TITLE: Senior Pastor, Green River Baptist Church

EDUCATION/TRAINING: *(Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable. Add/delete rows as necessary.)*

INSTITUTION AND LOCATION	DEGREE (if applicable)	Completion Date MM/YYYY	FIELD OF STUDY
Southeastern Baptist Theological Seminary, Wake Forest, NC	B.A.	06/1984	Pastoral Ministry
Duke Divinity School, Durham, NC	M.Div.	06/1999	Theological Studies

A. Personal Statement

As the senior pastor of Green River church for over 25 years, I have dedicated a large part of my ministry to the service of our community's health issues. Within my church, I led an effort to institutionalize healthy snacks for our afterschool program and have my health ministry attend an annual retreat to meet annually with health professionals to provide new information to our congregation in our bulletins during Health Sundays. I dedicate the second Sunday of every month to delivering a sermon that includes a message on healthy living. I am the founder of No One Left Behind, a non-profit organization established in 2000 that provides food to families in need in two urban communities in central NC. While we serve families of all types, we also work closely with the local elementary schools to provide remote nutrition education to families through their children. We currently have 30 employees total in both locations, half of whom were prior recipients of our services. I am on the Board of Health in Durham, and I am part of a Consortium for Health, an organization that brings clergy together to address mind, body, and spiritual issues of health in our communities. I attend national clergy health meetings and am an avid supporter of my local American Heart Association's efforts to disseminate information within our congregation and our community at-large. My leadership, skills, and experiences allow me to successfully serve as a consultant for the proposed project.

B. Positions and Honors

<u>Positions and Employment</u>

1984-1988	Associate Pastor, Rock of Salvation Baptist Church, Wake Forest, NC
1988-	Senior Pastor, Green River Baptist Church, Durham, NC
2000-	Founder and President, No One Left Behind, Durham and Wake Forest, NC

C. Contribution to Science

1. My organization, No One Left Behind, is a service, education, and health program that addresses the food needs of our low-income, unemployed, and homebound members. Our workforce development enterprise has served as an innovative model for other programs in Durham and Wake Forest, NC because we incorporate nutritionally-based health education in our workforce trainings. We have created a database that includes information on our training services, general health information and employment status for all of our recipients who have used our services and completed our education and workforce development program, and companies and organizations seeking employees with the skills we provide. We use this database to evaluate our program and determine ways to provide efficient training services that meet our members' current food and workforce needs while helping their families achieve better health.

a. **Johnson RP**. What it takes to lead a comprehensive faith-centered workforce development effort. *Journal of Pastoral Care* 2011; 5:8-14.

<u>Complete List of Published Work in MyBibliography</u>

[Weblink to publications and presentations by Rev. Johnson]

D. Research Support

<u>Ongoing Research Support</u>

None to report.

Biosketch Fictitious Example 2

OMB No. 0925-0001/0002 (Rev. 08/12 Approved Through 8/31/2015)

BIOGRAPHICAL SKETCH

Provide the following information for the Senior/key personnel and other significant contributors.
Follow this format for each person. **DO NOT EXCEED FIVE PAGES**.

NAME: Swanson, Maxine

eRA COMMONS USER NAME: (credential, e.g., agency login): swansonmd400

POSITION TITLE: President and CEO, Living Waters for Women

EDUCATION/TRAINING: *(Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable. Add/delete rows as necessary.)*

INSTITUTION AND LOCATION	DEGREE (if applicable)	Completion Date MM/YYYY	FIELD OF STUDY
University of North Carolina, Chapel Hill, NC	B.A.	06/2004	Women's and Gender Studies
University of North Carolina, Chapel Hill, NC	M.P.H.	06/2009	Health Policy and Administration

A. Personal Statement

My work is in support systems for battered women in Mebane, NC. I have over 7 years of experience in research and community service for women with varying racial, ethnic, social, and economic backgrounds. I am the President and CEO of Living Waters for Women, a non-profit organization of 10 employees that seeks to improve the psychological health of women through a social support framework designed specifically for battered women. Through my organization, we have provided social support services to over 400 women ages 16-62 years. I am a co-investigator on two research projects that seek to understand dyadic support systems among low-income women living in Alamance and Forsyth Counties. I am also the co-author of publications on informational, emotional, and instrumental support for women who have experienced domestic violence. Our organization partners with over 25 different organizations and agencies to provide mental health care and social services to our women. Our success rate led to my receipt of the Outstanding Service Award from the National Coalition against Domestic Violence. These experiences and skills allow me to successfully serve as a collaborating investigator for the proposed project.

1. **Swanson MD**, Doe JP, Culligan HR, Smith MA, Jones VT. Living beyond your circumstances: case studies of five women who have experienced domestic violence. *Journal of Women's Health* 2013; 12(4):72-79. PMID: 12345678 PMCID: PMC1234567
2. Doe JP, Smith MA, **Swanson MD**. Social support and policy impact on health outcomes of battered women. *Journal of Women's Health* 2011; 11(2):37-46. PMID: 12345678 PMCID: PMC1234567

B. Positions and Honors

<u>Positions and Employment</u>

2004-2010 Project Coordinator, Safe Systems, Greensboro, NC

2010-2012 Senior Project Manager, Safe Systems, Greensboro, NC

2012- President and CEO, Living Waters for Women, Mebane, NC

<u>Honors</u>

2010 Outstanding Service Award, National Coalition against Domestic Violence

C. Contribution to Science

1. My work seeks to understand how different social support networks impact healthcare seeking behaviors and outcomes of battered women. While the literature describes the need for improved services for battered women, particularly those experiencing domestic violence, little is published about the different types of social support networks women have access to or use when in crisis or not. Understanding these different types of social support networks can help in developing better systems that more effectively reach the women, thereby increasing their ability to seek care and maintain these behaviors. My collaborative, qualitative research found that battered women differ based on both family experience and race when identifying their social support networks. We also found that dyadic social support relationships vary based on circumstance (e.g., type and timing of a violent event) and by age. This work is a critical first step to elucidating the correlates associated with different levels and types of social support. I led the research in one of these two publications.

   a. **Swanson MD**. Reaching women through emotional support systems: a report on dyadic relationships of battered women. *Women Health Issues* 2009; 4(2):61-65. PMID: 12345678 PMCID: PMC1234567

   b. Culligan HR, Doe JP, Smith MA, **Swanson MD**. Addressing a violent crisis through the extended family: correlates of social support. *Women Health* 2010; 19(3):4-10. PMID: 12345678 PMCID: PMC1234567

<u>Complete List of Published Work in MyBibliography</u>

[Weblink to Swanson's publications and presentations]

D. Research Support

<u>Ongoing Research Support</u>

1-R-MH123456-01 (Doe) 08/01/2014-07/31/2019

NIMHD R01

Correlates of Second Generation Support Systems for Battered Women

The purpose of this study is to understand the mechanisms of support received from second generation battered women, and to develop and implement an intervention that addresses family emotional health among a cohort in NC.

Role: Co-Investigator

1R-NR123456-01 (Doe) 10/01/2010-09/30/2015
NINR R01
Social Support and Employment Opportunities for Women of Domestic Violence
This study seeks to enhance services for unemployed women who have experienced domestic violence by exploring the impact of informational, economic, and emotional support on securing employment.
Role: Co-Investigator

<u>Completed Research Support</u>

None to report.

References

[1] Carter-Edwards L., Enga Z.K., Black A., Richmond A. Ellison, A., Elliott-Bynum S., Green, M., Lightfoot, A.F., Dave G.J., Corbie-Smith G. *Engaging the Community to Develop and Operationalize a CTSA Logic Model and Five-Year Outcomes*, poster presentation at the 2014 Community Engagement Conference of the National Institutes of Health Clinical and Translational Science Awards, Bethesda, MD, 2014.

[2] Centers for Disease Control and Prevention (CDC). Principles of community engagement. CDC/ATSDR Committee on Community Engagement. 1997.

[3] Jones L, Wells K. Strategies for academic and clinician engagement in community-participatory partnered research. *JAMA* 2007; 297(4):407-10.

[4] Institutes of Medicine. *Promoting Health: Intervention Strategies from Social and Behavioral Research*. Washington, DC: National Academy Press; 2000.

[5] Tunis SR, Stryer DB, Clancy CM. Practical clinical trials: Increasing the value of clinical research for decision making in clinical and health policy. *JAMA*. 2003; 290:1624-32.

[6] Zerhouni EA. Translational and clinical science – Time for a new vision. *N Engl J Med*. 2005; 353:1621-1623.

[7] Institute of Medicine. The CTSA Program at NIH: Opportunities for Advancing Clinical and Translational Research. Washington, DC: National Academy Press; 2013.

[8] American Association of Medical Colleges (AAMC). AAMC initiative on assessing and communicating the value of medical research: stakeholder engagement report. AAMC, 2014.

[9] Wallerstein N, Minkler M, Carter-Edwards L, Avila M, Sánchez V. Improving health through community engagement, community organization, and community building. In, K Glanz, BK Rimer, and K Viswanath, eds. Health behavior: theory, research, and practice, 5th ed. San Francisco: Jossey-Bass, 2015.

[10] Grunbaum, JA. Challenges in improving community engagement research. In Principles of Community Engagement, 2nd ed. Washington, DC: NIH-Publication No. 11-7782, 2011. Institute of Medicine.

[11] Michener, L., Cook, J., Ahmed, S. M, Yonas, M.A., Coyne-Beasley, T., Aguilar-Gaxiola, S. (2012) Aligning the Goals of Community-Engaged Research: Why and How Academic Health Centers Can Successfully Engage with Communities to Improve Health. *Academic Medicine*. 2012 Mar; 87(3): 285–291.

[12] Israel BA, Eng E, Schulz AJ, Parker EA, eds. Methods for community-based participatory research for health, 2nd ed. San Francisco: Jossey-Bass, 2012.

[13] Minkler M, Wallerstein N, Wilson N. Improving health through community organizing and community building. In, K Glanz, BK Rimer, FM Lewis, eds. Health behavior and health education: theory, research, and practice, 4th ed. San Francisco: Jossey-Bass, 2008.

NOTES

UNC
THE NORTH CAROLINA
TRANSLATIONAL & CLINICAL
SCIENCES INSTITUTE