Academic Researcher's Guide

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

Fiscal Readiness Initiative

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

NIH-UL1TR002489

v.20180612

UNC
THE NORTH CAROLINA TRANSLATIONAL & CLINICAL SCIENCES INSTITUTE

Fiscal Readiness Guide for Academic Researchers

This guide was developed by members of the Partner Package Team* of the North Carolina Translational and Clinical Sciences (NC TraCS) Institute's Community and Stakeholder Engagement (CaSE) Program.

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Citation for this publication

Fiscal Readiness Initiative: academic researcher'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; 2015.

This project was supported by the National Center for Advancing Translational Sciences (NCATS), National Institutes of Health, through Grant Award Number UL1TR002489. 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 the CaSE program.[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.

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Background

Emerging Importance of Community Engaged Research in Academic Settings

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 what is considered community engaged research (CEnR). While such participatory research is not new, there is growing importance and attention placed on the collaborative partnerships necessary to conduct this work, and the process of translating findings that can more readily impact individual and population outcomes.

In terms of improving outcomes related to health and social determinants that impact health, the need is great, particularly among those that are most vulnerable.[3] Experts recommend promoting public participation and engagement of communities in research as a strategy to more effectively address health care services and social and environmental issues that impact health[4,5,6].

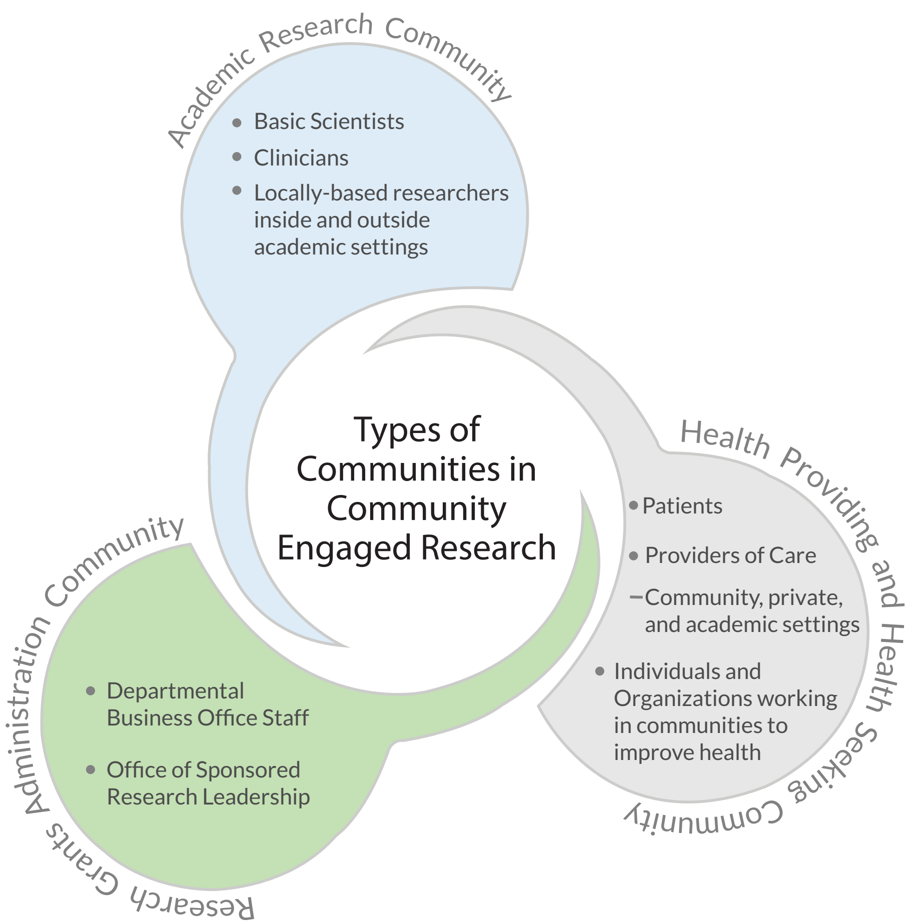
Among academic researchers, engaging communities may be straightforward for some and a challenge for others, as it requires time, energy, power sharing, resources, and methods different from a traditional research process. Similarly, conducting research is more difficult for some community organizations than others based on their experience and resources. Furthermore, there are principles for engaging communities in collaborative research that help establish and maintain levels of trust necessary for a successful partnership.

National Recommendations for Conducting Community Engaged Research

There is a national call for scientists trained in "transdisciplinary, transformative translational research".[7] Community engaged research is one of those areas emphasizing this need for researchers who have the skills to collaborate and build partnerships. Investment in such training is important, not only in addressing the barriers to conducting participatory research throughout the entire research process, but also to funding agencies that have included translational research as a priority. Such proposals, if successful, involve academic researchers that have authentic, viable relationships with their community partners.[8] In a recent report by the Institute of Medicine (IOM), a number of recommendations were made referring to the improvement of academic health centers by expanding partnerships and building on institutions' existing strengths in clinical and translational research.[9] This includes collaboration in processes, tools, and resources, interdisciplinary team-based approaches in training, education, and research, and involving a diverse set of community partners and organizations.

While most community engaged research to improve health has been conducted by academic researchers in public health working with individuals and organizations outside of the academic setting, the IOM defines community 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 other researchers working within (or outside) the academic setting.

Figure 1. Types of communities in community engaged research



The American Academy of Medical Colleges (AAMC) includes the research administration community as an important stakeholder in academic medical centers.[10] In terms of conducting community engaged research, the academic community also includes the ***research grants administration community*** (i.e., business offices and sponsored research offices) and other important, affiliated entities within the research administration community (i.e., institutional review boards, conflict of interest offices, and human resources) that 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 the Federal guidelines for awarded studies. It is these three types of communities — the health providing and health seeking community, the academic research community, and the research grants administration community — that we believe drive the successful implementation of a community engaged research project.

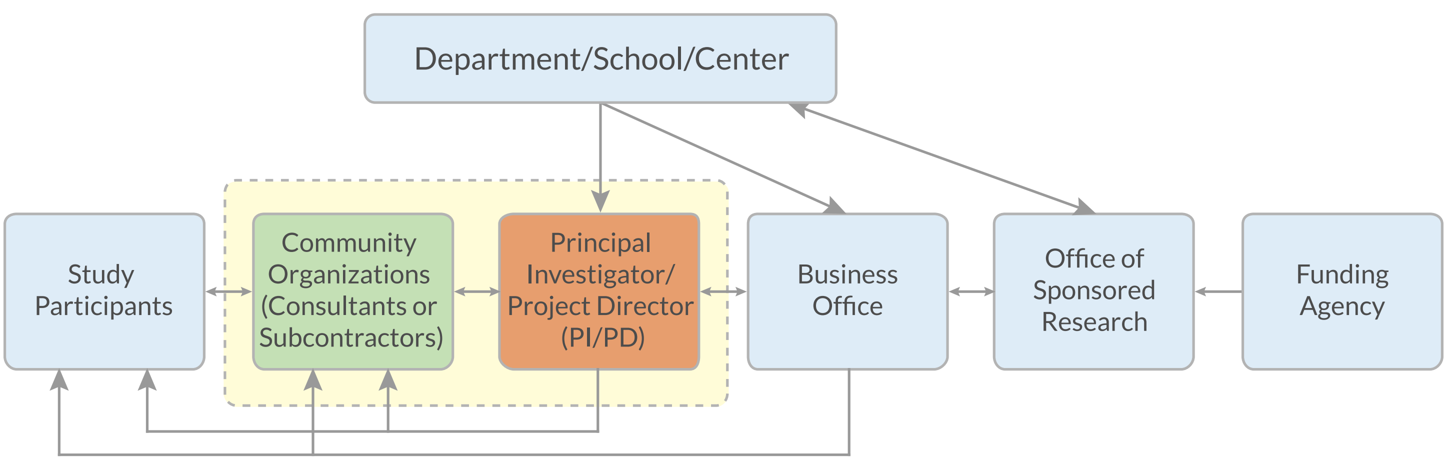
Partnership in the Pre- and Post-Award Grants Administration Process

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

In terms of community engaged research, community partners who will assist in conducting the research are requested to follow required procedures and provide information to support the application process.

The requests, including the fiduciary component of the grants administration process, are often communicated to community partners by the principal investigator 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.

Figure 2. Stakeholder relationships in community engaged research



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 community partners.

In a busy work environment where all partners — from the community partner to the office of sponsored research — have multiple responsibilities and obligations, equipping academic researchers and community partners with information needed to improve knowledge and communication about the pre- and post-award is just one step that may lead to more productive, sustainable relationships needed to conduct sound research.

Purpose of this Guide

This guide was created to share information with academic researchers so you will be better prepared to implement the pre- and post-award grants management process with your community partners and navigate some of the potential challenges.

The complementary Community Partner's Guide can be shared with community partners so they can also prepare for the grants management process.

This academic researcher's guide is designed for use by novice and experienced investigators and/or your project directors/coordinators/managers seeking to:

a. Increase knowledge of the pre- and post-award grants management process for conducting community engaged research;
b. Improve skills in completing key procedures for submitting and managing grants that involve community consultants or subcontracts with community organizations;
c. Increase skills in communicating key procedures for submitting and managing grants with community partners.

What is the Fiscal Readiness Initiative?

UNC's Fiscal Readiness Initiative started in 2012 and was designed to improve the grants management infrastructure for community-academic partnered research through the collaborative development and posting of guides, subsequent webinars, and assessments of their utility.

The Fiscal Readiness Initiative serves as a resource for novice as well as experienced investigators and their project directors to improve communication and knowledge of university and federal policies and fiscal responsibilities during a grant-funded research timeline, including the application process and management of funded grants.

The 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. It is a reference tool to assist academic researchers' navigation through procedures that are either recommended or must be followed in conducting community engaged research.

This guide will not answer all questions in these different types of community partnerships. It is also not a substitute for any additional guidelines put forth by your department, center, or the Office of Sponsored Research.

For questions or clarification on grants management issues that are specific to your proposal or grant, please refer to the Office of Sponsored Research's website:
http://research.unc.edu/offices/sponsored-research,
and to your business office.

Structure of the Guide

The overall structure of this guide focuses on two core sections: the pre-award grants administration process and the post-award grants administration process.

- The ***pre-award period*** described in this guide covers: a) the preparation period prior to and including the submission of a grant proposal; and b) the review pending period while waiting to receive word from the funding agency about the status of a grant proposal.
- The ***post-award period*** described in this guide covers the grants management procedures to follow: a) once the investigator receives the notice of award from the funding agency; and b) when the grant is ending and close-out reports are to be completed. The examples provided throughout the 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 foundations).

If your collaborative team is working on submitting a grant proposal, refer to the **pre-award timeline and checklist** as a guide before co-developing one with your community partner. The guide seeks to help demystify the pre-award process by identifying what are federal requirements so that your team can plan your submissions more efficiently.

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

It is important that the collaborative team include members from the community organization that have adequate knowledge about the fiscal operations of the agency and are empowered to make key decisions as needed. The guide includes:

- An introduction to what is community-based compared to community-engaged research to help academic researchers 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).
- An appendix with different resources for investigators 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 community partners.
- A list of federal and foundation funding sources from which UNC-Chapel Hill has often received funding and managed grants.

If your collaborative team has received grant funding, it is recommended that you refer to the **post-award timeline and checklist** to encourage you and your partners within and outside of the academic setting to be equipped 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 of 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 necessary for successful grants management, and tips and tools for how to successfully engage your community partners in the process.

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 are not aware that they may need to address community engagement differently based on these elements.

This section provides a brief description of the most common approaches currently used to describe community engagement in research: community-based research, community engaged research, and community-based participatory research. Although the term "community" can reflect different types of stakeholders in different settings (**Figure 1**), for the purposes of this guide and the field of research in this area, the term "community" refers to community, faith-based, and healthcare practice organizations that serve outside of the academic setting. This section also provides a brief overview of what is a community-academic partnership.

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 unidirectional 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.[11,12]

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 gain critical insight into research questions and design the ability to work 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, supportive relationships, and collaborative learning while embracing diversity. In grants management, community partners are actively involved in the decision-making process in the pre- and/or post-award periods. 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".[10,13,14] 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 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 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.

In order to best achieve the benefits of partnering, it is crucial to adjust the ways in which research is conducted to best suit the needs of both parties involved. This may require additional planning, increased communication, and transparency throughout the research process.

Grants Management – Pre-Award Period

What is the grants administration pre-award period?

The pre-award period is the preparation activity that the investigative team addresses to: a) submit a grant application for funding, and b) prepare documentation after submission but before receiving an award if funded. Prior to submission of a proposal, and in the interim period prior to a Notice of Award, there are a number of pre-award activities that must occur. Most pre-award tasks involve gathering information that is required on grant applications or on materials that must be routed through a departmental business office or the UNC Office of Sponsored Research (OSR). You will need to clarify what information will be required of you and what will be required from your community partner during this process. In addition to intra-institutional requirements, each funding opportunity will specify the forms and format that must be used. Advanced preparation will ensure that this process goes smoothly for you and your partner.

Why is the pre-award period so important?

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

The review will often catch administrative-related errors or missing information in the application. (Often, the first question asked is, "Did you follow the instructions?") Please be mindful that your community partner has a parallel review process, and may require approval from their business office, executive director, legal counsel, and/or 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.

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.

**Your department's business office may need to help you 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

There are three different timelines to a research project. Are you prepared for each?

It is important to know, and to share with your community partners, the three different timelines of a research project:

1 **Grant Preparation Timeline** – This timeline guides the preparation and submission of the grant. It includes discussion meeting times, dates for sending and reviewing draft sections of the Research Plan, deadlines for sending documents and budgets to and within the University, and final review and submission of the application. Since the timing between the notice of a funding announcement and submission deadlines can vary greatly, it is important to know which type of grant application is feasible given this time frame and the existing relationship you have with your community partner.

2 **Research Plan Timeline** – This is the timeline you submit within your grant application. This includes the milestones you intend to reach with your proposed project given your goals and objectives.

3 **Research Project Operational Timeline** – This timeline includes the milestones from the research plan timeline and the detailed operational tasks and timeline for completing the project that are not included in an application. This timeline is very important to create and share with your community partner to keep all partners on the same page and increase efficiency for completing activities, including business-related paperwork.

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

The pre-award application period involves four overarching phases when conducting CEnR:

Partnership connection – the identification and communication with community partners with whom you wish to engage in conducting a research project. Your community partner may be a consultant, sub-recipient, subcontractor, or vendor (see **Box A**). For experienced investigators, your connections may already exist. For novice investigators, this is an important time for you to identify and communicate with potential community partners to generate an idea together, or to pose an idea that may be of interest to, and meets a need within, the targeted community. This is also the time to identify which funding agency and which funding mechanism may be most appropriate.

Preparation – the procedures followed to prepare to submit a grant application. Once you plan to submit a grant application, the department business office should be alerted 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 training), personnel, and facilities needed prior to submission. It is very important to develop timelines for completing all activities prior to submission. Work with your community partner to create timelines. Start from the submission date and list each step that will be required working backwards — for instance when the budget needs to be finalized, when major text sections are due, etc. More details in this section on the pre-award period are below and in the **Appendix**.

Submission Phase – the final check and actual submission of the grant application. The investigator and research team should do a final check to make sure all information is in, including information from community partners. While the business office and the Office of Sponsored Research will thoroughly review the list of materials needed for the application, the principal investigator(s) is ultimately responsible for every aspect of what is submitted in the application. It is beneficial for the investigator or project coordinator to review the check list (see **Appendix**) with the department business office.

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 community partner and the rest of the team for the notice of award status and 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 do not share 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 report. Community partners should be made aware of this early on so that they can make plans to cover organizational expenses while waiting, conduct other projects, and have more time to develop plans to incorporate the proposed research into their existing work scope. This is an opportunity for the community and academic partnership to further build the relationship whether there is a subsequent notice of funding or not through capacity building for doing other research, or for generating the next set of research ideas.

There are several fundamental information sources during the pre-award stage:

The Funding Agency

In the funding announcement, you will find the following key items:

1. Due date for the letter of intent (if any)
2. Application due date and time
3. Required forms and format
4. How and to whom you should submit the application
5. When IRB approval is required (pre or post release of funds)
6. The objectives of the funding opportunity that should guide the scientific sections of your proposal

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

The purpose of the 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-CH was the prime recipient of a National Institutes of Health (NIH) grant award. UNC-CH 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.

Your Departmental Business Office

Each department will have certain requirements/knowledge related to processing an application or contract. They may include, but are not limited to:

1. An abstract and/or synopsis
2. Information about the extent of your collaboration with your community partner to determine whether or not a subcontract will be required
3. What forms/documents will be required from the community partner
4. Due date for departmental routing, which is usually the date that all fully executed sub-contracts are due
5. Information that OSR requires that is not on other application materials
6. How the application will be submitted
7. Who needs to approve and certify the application through the online application processes of the University and the funding agency

What should I share with my community partner in preparation for submitting the application?

Once you and your community partner have agreed to work together on a funding opportunity, all of the important deadlines that will impact each other should be shared on an ***agreed upon proposal timeline*** (see **Appendix**). This timeline should include the dates the proposal will be reviewed and when the funding decision will be announced.

You and your partner will need to have an open and honest conversation about the capacity of the community organization to manage the grant requirements. This may mean knowing whether the community organization is a 501(c)(3), has qualified financial staff, and has financial systems and processes to handle grant funds.

Also, your partner should have a copy of the official funding opportunity and a list of UNC requirements. These requirements may include:

1. Tax exempt status
2. Data Universal Numbering System (DUNS) number
3. eRA Commons Identification Number
4. Facilities and Administration (F&A) Rates
   (use the federally set rate if your partner's organization does not have one)
5. Letter of Intent
6. Letters of Support
7. Letter of Commitment
8. Federalwide Assurance that the organization will comply with human subjects protection
   (can use UNC's Institutional Review Board if the organization does not have an existing IRB relationship)
9. Memorandum of Understanding
10. Conflict of Interest Certification
    (use UNC's COI policy if the organization has not applied for its own certification)
11. Budget and Budget Justification
12. Biosketches of Key Personnel

Additionally, you and your community partner should be clear on ***roles and responsibilities*** in development of each section of the proposal including the Research Plan and during the implementation of the project, should it be funded. Also, determine your partner's ability to respond to Just-In-Time requests from funding agencies, which may occur after the scientific review, but before a definite funding decision is made. These usually have very short turn-around times.

What should I share with my community partner after the application is submitted?

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

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 to focus on next steps.

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 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.

Grants Administration – Post-Award Period

What is the grants administration post-award period?

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 principal investigators and program directors, University business offices, sponsoring agencies, and Award Management Teams. Careful adherence to grant guidelines and regulations related to the grant are crucial to ensure that the grant budget is maintained, proper payments are made, that the proposal's end goals are met, and that the process as a whole complies 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 research team to dedicate needed time to the research.

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

Learning from your Business Office Staff

Your business office serves to provide support in all aspects of the research administration of externally funded research. The business office serves as an agent of the University to provide checks and balances related to compliance of federal, state, and University policies and regulations and to protect researchers from the possible consequences of non-compliance issues. Your business office is a valuable resource in terms of current regulations and sponsor requirements. Keeping the office informed and proactively complying with policies and regulations will help streamline the post-award process. The post-award application period involves four overarching phases when conducting CEnR: preparation, management, reporting, and close-out.

Phase 1: Preparation

These are procedures to follow once a notice of grant award (NOGA) is received. These are fiscally-related grants management procedures that should be in place prior to beginning work on a project. Once a NOGA 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. 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 business office and submit the correct forms related to such changes (see **Table 1**).

Phase 2: Management

This phase 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 for the project. 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

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.

regular meetings and set aside time to discuss study finances so that the academic and community partners responsible can work through any issues and can submit invoices in a timely manner.

Phase 3: Reporting

Reporting of fiscal and grants management activities to the funding agency is necessary during the life of the grant. This reporting can be requested in cycles, and often goes through the business office and the Office of Sponsored Research 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. Providing all parties with at least 3-4 months to gather necessary information prior to the report submission deadline(s) reduces the stress and anxiety that can ensue if the research team waits until the last minute to prepare. Create a timeline for report preparation and indicate the flow through the agencies. Define what each partner contributes to the report and identify who will edit the final document. Reporting preparation is a task that should be included in the research project's operational timeline (**Box B**).

Phase 4: Close Out

Procedures and activities necessary for completing a project (which requires financial close out and final reporting).

Table 1. Timeline Over the Closeout of the Award

Frequency	Activity	Who's Responsible
Regularly	• Review and certify ecrt ® (Effort Certification Reporting Technology) reports to ensure correct salaries and percent efforts were used • Check actual expenses against approved budget; ensure spending patterns are consistent	• All academic partners paid from grant funding • Ultimately, the PI, but usually the academic and community staff responsible for monitoring finances
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 a 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 and if the time extension is necessary • 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 are business offices asking for during the process of managing a grant and when?

The following table includes 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 specific grant and your departmental business office for more information. This list is not exhaustive, and as requirements may change often, it is intended to be used as a starting point for thinking about what your specific 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
Application for purchase of computers **Word**	Used to request approval for computer purchase	Used to request approval for computer purchase	Computers purchased through the university include preloaded software, warranty, insurance, and IT support is available	If computers were purchased through the university, all partners must adhere to university policies regarding computer use and data security
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 recordkeeping is necessary among all partners to reconcile salaries and expenses over the course of the project

Table 2. Award Management Forms				
Type	Purpose	When Used	Benefits	Drawbacks
cont. from page 24				
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
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	May need additional lead time to ask for information from partners to complete the report

Table 2. Award Management Forms				
Type	Purpose	When Used	Benefits	Drawbacks

cont. from page 25

Type	Purpose	When Used	Benefits	Drawbacks
Project Financial Guarantee (PFG)	The grant funds have not been received, but the project has been notified of the award.	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
Consultation with Awards Manager	Award adjustments often require institutional approval and authorization, particularly changes affecting budget, effective dates and effort reporting	As such changes are anticipated	Communication in person can expedite the process and improve trust	Sometimes challenging to schedule since awards managers, Principal Investigators, and community organization leaders are busy
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
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 recordkeeping 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

N**ew **O**utlooks for **CL**ot-related **O**ngoing **T**esting **S**trategies (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.

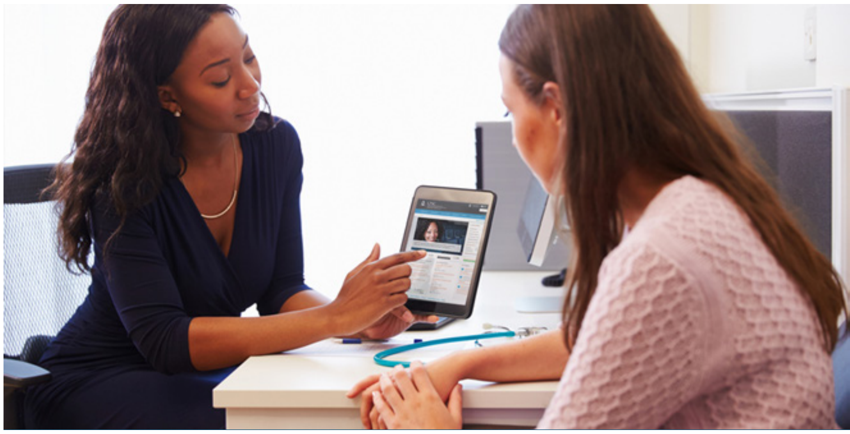
During the grants management process, we always work closely with the academic business office, which is our liaison to the Office of Sponsored Research (OSR). Between pre and post award, there were changes in the legal staff at OSR, which led to a change in the business relationship between UNC and 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.*

What should I share with my community partner in preparation for managing a funded federal grant?

To assure that grants are managed properly and that Federal dollars are spent in accordance with applicable laws and regulations, early and frequent communication is essential to the process. By accepting a grant, you are agreeing to successfully complete your approved project within the agreed-upon budget and time frame. Ensure that your partner has a working knowledge of the budget, the time frame, and deadlines within that time frame including progress and financial reports, and how payment and compliance are linked to these required pieces. Planning early allows both the community partner and research teams to express organization needs or concerns in maintaining compliance so that both sides can agree on a reasonable action plan moving forward.

In addition to effective planning of the project, there are several key components to successful financial management along the way that should be shared with your partner. It is crucial for all partners to know the details of financial record-keeping to ensure compliance. Share with your partner the need for accurate, current, and complete disclosure of financial results, records that adequately identify the source and use of funds in grant-related activities. Discuss the time that will be needed for such processes, including reporting of any deviations from budget or program plans that will require approval.



Description of core post-award period 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 **Table 3**.

Notice of Grant Awards (NOGA)

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, due dates and appropriate contacts. Terms and conditions of any award require review and approval by the Office of Sponsored Research (OSR).

BOX C

Sample Agenda for a Business Kick-Off Meeting

- Introductions
- Review of project aims and timeline
- Review of budget and resource allocation
- Reporting expectations
  - Invoicing procedures and frequency
  - Human Subjects (IRB) and conflict of interest reporting
  - Budget reports to the University
  - Reports to funding agency
- Other business
- Adjournment

Award acceptance legally binds the University to the specified terms, and principal investigators (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.

Grant Account Number

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

Team Kick-Off Meeting

The best way to ensure that all parties involved have a shared understanding of their roles and responsibilities is to conduct a Post-Award Kick-off or Orientation. This may involve a formal meeting with community representatives, business staff office members, and the research team. The kick-off provides a space for ironing out any details, questions, or concerns regarding the grant. It also serves to build rapport and launch a successful partnership. Within such a meeting, all parties involved should come to a clear and mutual understanding through discussion surrounding responsibilities and identification of requirements.

The kick-off is an ideal setting to discuss partnership arrangements such as use of community resources and spaces. A plan for communication should be established, along with documented contact information for individuals specifying their roles and responsibilities in the grant. This kick-off may also be thought off as a celebration of the initial success within this partnership in establishing the funded research initiative.

Academic Researcher Responsibilities to Sub-Contractors and Sub-Recipients

Subcontractors usually perform a specific function of the research project and must be written into the budget of the grant as 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. It is the responsibility of the researcher to ensure that sub-contractors/sub-recipients have the knowledge and resources needed to remain in compliance throughout the process.

Sub-contractor/sub-recipient monitoring starts with the preparation and issuance of the sub-award agreement, continues through the execution, and ends after the conditions have been met and the sub-award is closed. In order to ensure compliance, risks associated with a sub-recipient should be identified and managed prior to the grant of the sub-award. Roles in responsibility/accountability for establishment and management should be well thought out, prior to sub-award. It is important that the University and its sponsors receive value for any funds expended.

> *For 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.*
>
> NO CLOTS Staff Member

The following depicts the process of the sub-contract/sub-recipient relationship:

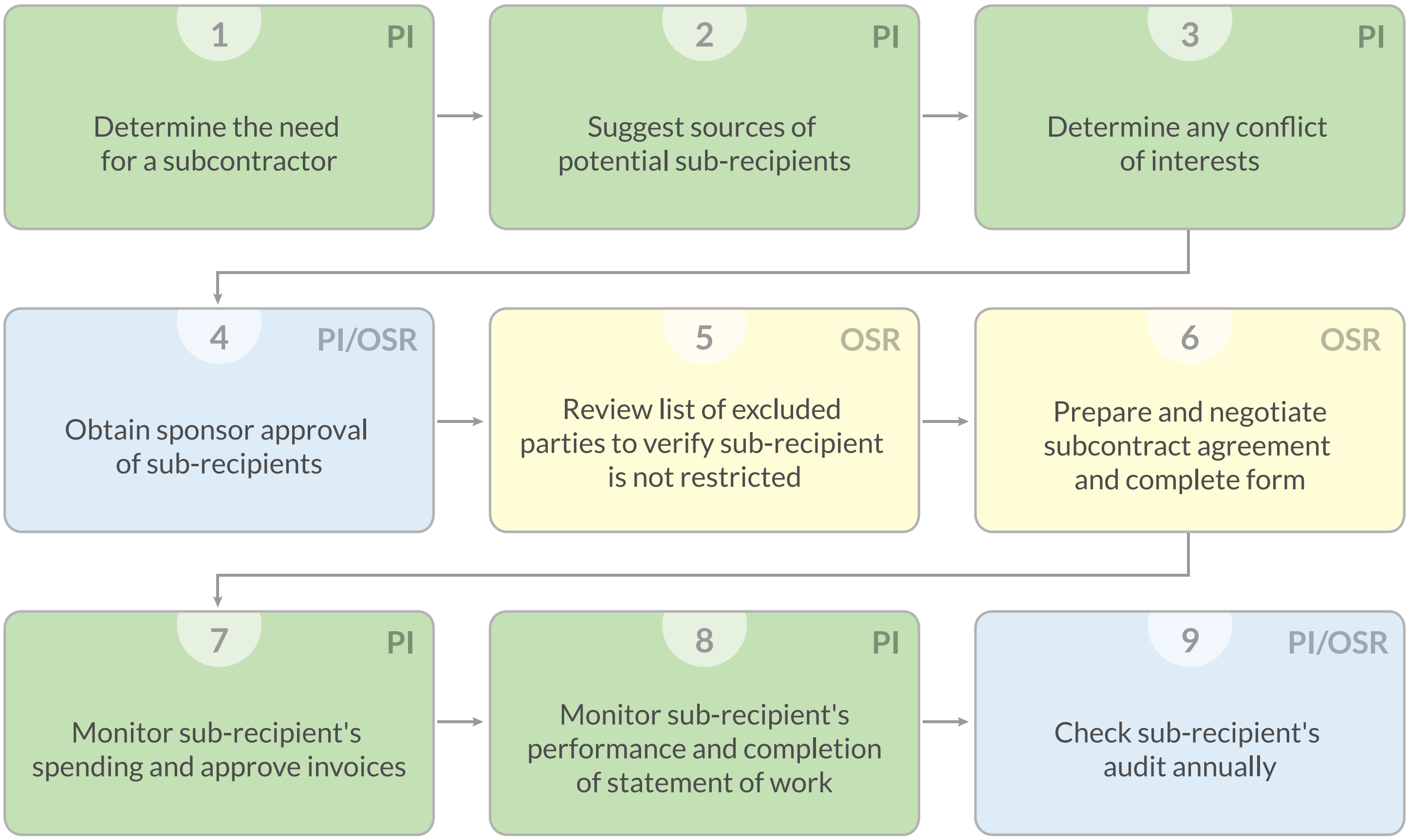


Figure 3. Sub-contract/sub-recipient relationship process

In granting sub-contracts, the University assumes the responsibility of providing oversight and ensuring sub-recipients are not debarred or suspended and are eligible to receive federal funds. Monitoring also includes assurance that the sub-recipient has the appropriate financial system to manage such sponsored funding — and that the sub-recipient 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 the potential sub-recipient prior to issuance of a sub-award agreement (see **Appendix**).

To ensure good stewardship of projects once they receive funding, reporting, site visits, regular contact, or other methods are necessary to provide reasonable assurance that the sub-recipient administers awards in compliance with laws, regulations, and the provisions of contracts or grant agreements — and that performance goals are achieved.

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-to-day operations of their organization. Early communication and resource management ensure that the subcontracting agency is able to successfully fulfill responsibilities of 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.

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. Academic partners will have to request that their community partner completes independent contractor forms (determination form) annually and submit them to the academic business office (see **Appendix**).

Criminal Background Check

In order to comply with University human resources requirements to ensure the safety of faculty, employees, students, and affiliates, all 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" (**hr.unc.edu/policies-procedures-systems/spa-employee-policies/employment/pre-employment-background-checking-spa-epa-non-faculty/#Criteria_for_Background_Check_Requirement**).

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 the release of funds to community partners. Community partners who are independent contractors on grants administered by different academic units need to complete background checks for each unit.

If there are adverse background check results, 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.

Academic partners should communicate to their community partners that payment from the University is not possible if their background check shows evidence of illegal activity. Also, both partners should try to anticipate any potential adverse issues that may arise in the background check and discuss extenuating circumstances so that they are prepared to provide an explanation.

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. A set of forms must be completed and reviewed for approval. Your department business office should be your first point of contact to determine whether or not you are 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 able to submit invoices to the University. Invoices must be approved and signed by the principal investigator, 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, they 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 them signed by the principal investigator, and submit the forms to the academic business office. The subcontractor will then receive a check for

> *So a small organization is going to have a small operating budget… But when you expect them to cover everything up front and then you reimburse them after the fact, that's where the sacrificing comes in on the community's side.*
>
> Academic Respondent, Fiscal Readiness Initiative Feedback Group

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 was 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 have to keep unused cards and return cash for that amount to the University cashier.

Expense Reports

Budget line items

One of the responsibilities of the academic partner is to work closely with their subcontractors to ensure that expenses are accurately recorded and reconciled in a timely manner. Sharing expense reports on a monthly basis with each other 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. Offering sample forms to the community partner may be helpful to get the process established early and facilitate timely monitoring of expenditures and preparation of reports. These expense reports are valuable tools to plan for cash advance requests so that the community partner has adequate cash flow to conduct research activities.

Budget Modifications

If 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 their academic partner after checking the following. First, the award notification should be reviewed to see if budget modifications are permitted and checked for budget restrictions. Second, the account should be reviewed for restriction codes in the Financial Reporting System (FRS), which is UNC's electronic accounting system. Third, written permission for a budget modification should be obtained from OSR for budget revisions that differ from the award notification 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.

Carry-Forward

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 carryover.

Annual Reports

Budgets that are part of annual reports

Depending on the requirements of the specific grant, funders 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 funders. 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 OSR for the funder 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 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 proposal budget. After the grant is awarded, then hiring a specific consultant can be approved by the funder.

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. The PI and business office should work together and communicate regularly to monitor consultant expenditures and travel reimbursements.

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):

1. Project Performance Report (PI)
2. Final Report of Expenditures, including Notice of Termination Reply (PI and OSR)
3. Patent, Inventions, and Technology Transfer Issues (PI, OSR, Office of Technology Development)
4. Real Property and Equipment Ownership (OSR)
5. 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.

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 funder 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 funder, 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 funder. If the funder 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.

Creating a Nurturing and Healthy Partnership

- Identify and respect the priorities and needs of the community or organization early. Become familiar with the mission and time constraints of your partner. Have flexibility by understanding legitimate needs from the organization.
- Partnership means getting to know each other. Arrange visits to each other's sites, plan a meeting over a meal, and develop a working relationship.
- Demonstrate respect by acknowledging individual's titles and respecting the community's cultural norms.
- Practice humility; everyone should made an effort to learn.
- Crawl before you run. Small successes nurture partnership, and can aid in improving the process on a manageable scale.
- Give credit where credit is due by sharing successes, large or small throughout the partnership process. Consider sharing success stories in a study newsletter, local paper or magazine, co-presenting at a national conference, etc.
- Promote a common vision versus separate agendas whenever possible. Common visions include improvement of health care in communities, service vs. research. Successful collaborations are more palatable to funders and foster successful partnerships.
- Specify expected types of outcomes and possible relevance to the community.

> *…to define commitment to community, as the academic partner, is being willing to build the community's capacity or to be willing to let that be more of a priority… recognizing the priority of the mission in the community and letting that lead, instead of just coming with the academic agenda.*
>
> Community Partner, Fiscal Readiness Initiative Feedback Group

Research Infrastructure

- Develop a plan for regular communication between the project staff and the community staff. This may mean a formal plan with specific procedures or it may mean an informal plan with shared contact information. Also keep a regular meeting schedule with your partners. What is important is transparency throughout the process — keeping each other informed and consulting one another before reaching out to the business office or conducting project outreach.
- Respect procedures and policies of an organization which may be different than those of the research staff. Emphasize research principles which may need to be followed, and find ways to integrate research and service delivery when possible.
- Take the time to find out what people are interested in and what they're good at. There is no use in trying to fit a square peg into a round hole.
- Consider what the partnership will mean by collectively mapping out goals, partner needs, and aims of the partnership.
- Conduct a skills inventory and mapping of community assets. Utilize existing community strengths and resources. Employ community members whenever possible.
- Share the money. Include compensation for community partners in the budgets. Co-develop a budget to get a realistic understanding of facility and personnel costs as well as pre-award proposal writing time.
- Provide partners with the resources they will need to be successful. This may include contact information of business offices for grants/financial issues, and information about who to contact for what needs.
- Co-develop a Memorandum of Understanding (MOU) early in the process. Check that it is consistent with the scope of work. This enables partners to be clear about expectations of the partnership.
- Make a plan for sharing research results through co-facilitating presentations in both the community and for researchers.

Proposal Writing and Grant Submission

- Be realistic and upfront about time commitments involved in proposal writing. Draft sections along the way that community members can react to. This will nurture your shared vision.
- Create a plan for engaging community members in review of grants. This will empower the community partner to be involved in the process. Provide grant templates and ensure the process is collaborative.
- Ask for letters of support during the grant submission process and be willing to help draft them.

Research Ethics, Study Recruitment and Data Collection

- Think about when and how community members will complete ethics or CITI training. Compensation may need to be provided, or even alternative ethics or community-based training.
- Plan for clear and ongoing communication to share challenges with the recruitment process and ways to overcome them.
- Co-develop a manual of procedures with community partners, which should be in place before implementation activities begin. Co-facilitate and participate in ongoing training to make ongoing and accurate implementation of protocol and data collection procedures.
- Offer clear and ethical guidelines on when and how to follow-up with participants and who should do this.
- Share information with community-based organizations (CBOs) so they can take part in the interpretations of data and outcomes. This makes the process and outcomes more meaningful to the community.
- Be clear about inclusion and exclusion criteria for study participants and check access to potential participants through the community.
- Although reporting to funding agencies is usually done through the academic institution, community partners can be involved in the process of review and compiling final reports as they may have insights that their research partners do not have.

Grant Management and Accounts

- Link questions about CBO finances to specific requirements of the grants management process.
- Inform the CBO of the process of activating any accounts (that are related to the ability to pay fees) according to the budget agreement.
- PIs and CBO leaders should be aware of any interaction between finances used for the project and finances used to fulfill the CBO's primary mission — all project finances must be clearly accounted for. CBO leaders may also want to consider how CBO finances will be impacted once the subcontract ends.

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 collectively manage the fiscal and administrative aspects of a partnered research grant.

The process is an ongoing learning experience, for both experienced and novice partners, 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 trainings for investigators sponsored by the UNC Center for Faculty Excellence, UNC Office of Sponsored Research, and the NC TraCS Institute.

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

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
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
Crystal McCall
Alison Nelson
Vanessa Peoples
Elisa Quarles
Malika Roman-Isler
Janee Smith
Julea Steiner
Doris Stith
Sonya Sutton
Sue Tolleson-Rinehart
Lance Underwood

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 CaSE Program Metrics Workgroup
NC TraCS CaSE Program 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 UL1TR002489. 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 Period

- ❑ Am I familiar with the specific requirements of my departmental business office in order to process an application or contract including **due dates** for departmental routing?
- ❑ Do I know **who needs to approve and certify** the application?
- ❑ What are the **key items** from the funding announcement, including **due dates**?
- ❑ Am I familiar with any and **all forms and formats required** by the application?
- ❑ Is a **letter of intent** 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?
- ❑ Is there **information required by OSR** independent of what is on other application materials?
- ❑ Have I **shared all pertinent information with my community partner** including deadlines, copies of UNC requirements, and the official funding opportunity?
- ❑ Have the community partner and I discussed and **clearly defined roles and responsibilities** in the development of each section of the proposal?
- ❑ Has a **DUNS** number been requested?
- ❑ Do I know my partner's ability to respond to **Just-In-Time requests** from the funding agencies?
- ❑ Upon submission of the application, have I **shared a copy of the submitted research plan** with my community partner?

Post-Award Period

- ❑ 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 an internal **system** in collaboration with my partner and the academic business office for successful sharing of financial reports over the life of the grant?
- ❑ Do I need to request approval for computer purchase with the **Application for purchase of Computers**?
- ❑ Do I need to fill out an **Equipment Assignment** Form before using University equipment?
- ❑ Do I need a **Project Financial Guarantee (PFG)**?
- ❑ Has my partner completed an **Independent Contractor Form (determination form)**?
- ❑ Has my partner completed **background check** forms?
- ❑ Has my partner completed forms to become a **university-approved vendor**?
- ❑ Do I have a plan for tracking **invoices and subcontractor receipts**?
- ❑ Do I have a plan for completing and monitoring **time and effort certifications**?
- ❑ Do I have a plan with my partner for completing regular **progress reports and annual reports** required by the funder?
- ❑ Will I need to request cash advancement with either a **Cash Advance Agreement** or an **Application for Advancement of C&G Funds**?
- ❑ Is there unspent cash from budgeted research activity? If so, have I completed a **Cash Transmittal Report**?
- ❑ Do I have a plan for record keeping for **reconciliation of cash disbursement for study participants**?

Checklist for Principal Investigators

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

- ❑ Communication
  - ❍ Are you able to have clear and transparent communication?
  - ❍ Is there a dedicated liaison as well as a back-up person to communicate with the academic team?
  - ❍ Can communication occur in a timely and technical manner?
  - ❍ Is there a point of contact for business matters with the University?
- ❑ Is your relationship based within a common interest? Is there established trust in the relationship?
- ❑ What is the organizational support and infrastructure of your community partner?
- ❑ Does your partner have a good understanding of CBPR principles?
- ❑ What is your community partner's experience with grants and University processes?
- ❑ What is your community partner's interest and experience with the topic of interest?
- ❑ Are there a suitable number of potential study participants accessible through the organization?

Characteristics of a partner that might need more assistance in the pre/post-award process:

- A partner's previous research and grants experience may dictate this
- Does your partner have office support available?
- Pre-award: Have you discussed your partner's fiscal management capacity and status related to federal wide assurance, eRA Commons, ethics training, CITI certification, and conflict of interest certification?
- Post-award: Have you talked with your partner about their staff capacity and maintaining the connection to research over the course of the grant?

Characteristics that signal to be careful:

- Lack of experience with recordkeeping/legal/financial matters
- Lack of appropriate legal entity, licenses, and documentation to support a grant
- Lack of interest, leadership not taking part in negotiations
- Difficulties communicating or progressing after a few meetings
- Partner unwilling to learn and grow from where they are now

Things investigators should consider about their own capacity:

- Are you able to hire staff in a timely fashion to conduct the research?
- Do you have a clear understanding of the University's expectations and policies?
- Are you able to communicate effectively and in lay terms with your partner?
- Are you willing to make the time commitment and respect the time constraints of your partner (which may involve night/weekend meetings)?
- Are you considerate of your partner's own organizational matters/parameters?
- Have you created a checklist with your partner to determine what is needed?

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**
CITI Program Community-Engaged Research Modules	**support.citiprogram.org/customer/en/portal/articles/2165953-new-community-engaged-research-cenr-modules**
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)

Foundations and non-profit organizations 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 and are not in one of the health affairs schools, contact your department to determine 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
CaSE	Community and Stakeholder Engagement (CaSE) Program 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
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
HHS	Department of Health and Human Services
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/NOGA	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
UNC-CH	University of North Carolina at Chapel Hill

Terms

Abstract
Amendment
Allocable Costs
Allowable Costs
Authorized Signature/Authorized Signature Authority
Award Close Out
Budget
Budget Adjustment
Budget Period
Budget Narrative / Budget Explanation / Budget Justification
Collaborator
Consultant
Continuation
Contract
Cooperative Agreement
Cost Sharing
Delegated Authority
Deliverable
Direct Cost
DUNS Number
Effort
Effort Reporting
Encumbrance
eRA Commons
Extension
Extramural Funding
Final Report
Fixed Price
Fringe Benefits
Funding Authority
Funding Cycle
Grant
Grants.gov
Grant/Contract Officer
Incremental Funding
Independent Contractor
Indirect Costs
In-kind Funds
Intellectual Property
Interim Funding
Just In Time
Limited Submissions
Logic Model
Key Personnel
Matching Funds
Memorandum of Agreements
Modified Total Direct Costs
Narrative Report (can also be called a Progress Report)
New Award
No-Cost Extension
Non-Compliance
Peer Review
Pre-Award
Pre-Award Account
Pre-Proposal
Post Award
Principal Investigator
Prior Approval
Program Officer
Progress Report
Project Period
Proposal
Restricted Funds
Senior Personnel
Signature Authority
Sponsor
Subcontract, Subgrant, or Subagreement
Sub-recipient
Supplemental Proposal
Terms of Award
Total Direct Costs
Total Project Costs
Unallowable Costs
Uniform Guidance
Unrestricted Funds
Vendor

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-CH'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 travelled 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-CH, 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-CH was the prime recipient of the NIH grant award. UNC-CH 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-CH's Center for Health Promotion and Disease Prevention, representatives from the UNC-CH 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-CH 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-CH'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-CH)
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-CH) 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-CH 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-CH'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 D

On the new NIH biosketch, there are two changes that provide spaces for community partners to highlight their contributions:[15]

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.

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

Positions and Employment

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.

Complete List of Published Work in MyBibliography

[Weblink to publications and presentations by Rev. Johnson]

D. Research Support

Ongoing Research Support

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

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