

The Life of An Award

Theresa Lagasse – Clinical Sciences Finance Manager

Kelly Lewis – Clinical Sciences Account Rep

Christie Sayre – Clinical Sciences Grant and Contract Coordinator

Previous Dialogues

[DCS Research and Finance Dialogues | Cornell University College of Veterinary Medicine](#)

Proposal Submission

Christie Sayre cms44@cornell.edu is the first point of contact for proposal submission whether it is an internal or external submission. Some Cornell internal applications don't require Christie's review, but she is available to review if you would like her to assist.

- Notify Christie the intension to submit and provide the link or guidelines
 - Your submission and due date will be added to College Research Office (CRO) calendar
 - Christie will create the submission record in the Research Administrative Support System (RASS)
 - PI will create their user ID and password if a call needs to be submitted online. That information can be shared with Christie and she will assist with upload of materials.
 - Christie can answer questions about the call, start your budget, pull your current and pending details, and/or provide templates if needed.
- Once your materials are ready for review, let Christie know.
 - Sometimes materials are loaded within an online application, sometimes they are emailed for review.
 - You can also create a folder in Cornell Box for your materials and give Christie access.
- Christie will review your materials against the guidelines for all requirements, review your budget and justification, provide suggested changes, make edits as necessary. She will also load the budget in RASS and release for attestations.
 - If approvals or support letters are needed from the Dean of Research or Department Chair she can facilitate that.

- Christie will notify the CRO once materials are final and ready for review
- The CRO will review materials and provide additional feedback and/or suggested changes prior to submission.
 - The CRO will confirm once all changes have been made and either provide the okay to submit online or if an email submission is required, they will email the materials to the sponsor.
 - If the CRO can't submit due to the sponsor, they will email the central Office of Sponsored Programs (OSP) Grant and Contract Officer to review and submit.
- Timely submissions are important if you want a full review of your materials. The CRO requires materials 5 business days before the deadline for external submissions.
 - Christie will need your materials prior to the 5-day requirement. Depending on the complexity of the grant and how many submissions she has, she may need your materials a week prior to the CRO deadline.
- The OSP office has published review guidelines that detail the level of review based on when the materials are received.
<https://researchservices.cornell.edu/resources/proposal-review-guidelines>.

PreAward Signed Award Spending

- ♦ Your proposal is pending but you feel strongly it will be funded, you can discuss with department finance if an “At Risk” account would be appropriate
 - ♦ What are the risks?
 - ♦ The contract can not be negotiated and funding is not secured
 - ♦ Expected funding levels are reduced in the signed contract
 - ♦ The start dates could be modified creating unallowable pre contract transactions
 - ♦ We will create an account to house these transactions
 - ♦ This account will be noted as “pre award” in your account updates and will show a negative balance to help track spending
 - ♦ Any activity that is not allowed in the signed contract will be covered by your discretionary funding

Congratulations your award was funded!

- You may receive the notice of funding before we do
 - If you get those notices, please forward to Christie and Theresa
- Once the sponsor has agreed to funding, OSP must review the award and sign off on all terms and conditions
- PI, Finance, Grant Coordinator, Department Leadership will be notified this award has been signed (ASAP)
- Vet's central finance will set up the account number
 - This account needs to be approved by central Sponsored Finance (SFS)

Congratulations....

Once an account is established you will receive an official notice from the Department

Hello Dr. Smith,
Congratulations on your award!

Project title: "How Cuddling Puppies Increases Happiness" awarded by The Puppy Cuddle Foundation
Do you have a name you would like for this on your forecast sheet?

A new Account has been set up for your project:

ACCOUNT: 4808000

BUDGET: \$ 100,000

Award Dates: **7/1/2024** – 6/30/2025

Budget Items:

Animal Costs

Participant Support Dollars

Tech Time – Do you have someone in mind?

PI salary – 2% effort – Would you like this set up on the start date of the project?

Notes:

Per sponsor guidelines every attempt should be made to adopt out all animals purchased for this project, no fee adoptions.

Participants should have at least 3 hours of cuddle time with the animals.

No cost extensions of time should be submitted 30 days prior to the term of the project (5/31/2025)

Final technical report due 30 days after the term of the project (7/31/2025)

Best of luck with your project
Theresa

- ♦ Account number to use for purchases
- ♦ Award dates, obligated and anticipated
- ♦ Overview of budget items
- ♦ Opens discussion regarding personnel
- ♦ General Guidelines for the award
- ♦ Important Dates for reports and extensions

How do the sponsors get us money?

Two Most Common Ways

- ♦ Cost Reimbursable
 - ♦ The sponsor will “obligate” a budget amount for Cornell to spend against
 - ♦ Sponsored Financial Services will send invoices to the sponsor based on a preapproved schedule
 - ♦ As invoices are paid the account is “credited” behind the scenes
- ♦ Fixed Price Agreement
 - ♦ Funds are sent to the University in totality
 - ♦ Financial reports are still due to show how we spent the funds
- ♦ What is we don't spend all the funds?
 - ♦ Some projects require we return the dollars to the sponsor
 - ♦ Some projects allow the University to keep the funds
 - ♦ Depending on the amount left some of the funds may go to the faculty
 - ♦ There is a matrix for the amount returned based on the percentage left from the original budget

Sending Funds to Collaborators

♦ Subcontracts

- ♦ Subcontracts are processed to send funds to non-Cornell Collaborators
- ♦ Separate account within DCS is created to house these funds
- ♦ Invoices are sent to the department for financial review
- ♦ All invoices must be approved by PI in order to be processed, the invoice should be review to verify it fits with the work completed by the subcontract entity
- ♦ Requested 3 Day turn around from invoice receipt to processing

♦ Related Accounts/Projects

- ♦ Related accounts are created to house project dollars for Cornell internal collaborators
- ♦ The PI Dashboard provides a view of the balances in the external project accounts
- ♦ It is expected that the related departments are spending and administering the funds according to Cornell policy
- ♦ The Clinical Sciences Department does not currently monitor related accounts on the PI's behalf
- ♦ It is up to the PI to collaborate with internal collaborators to verify spending

Budget Modification

- ♦ Many awards do not require budget modifications to deviate from the originally approved budget
- ♦ **Most common reasons for a budget modification:**
 - ♦ Sponsor requires a modification for all deviations from the original budget
 - ♦ The budget deviation is greater than 25% and we want to contact that sponsor regarding the impact on the scope of work
- ♦ We ask that the expenses creating the deviation not be processed until we have approval for the modification

No Cost Extension

- ♦ No cost extensions are requests sent to the sponsor requesting an extension of time beyond the current award performance period to ensure adequate completion of the approved project

objectives. *Funds remaining at the end of an award is not a justification that a NCE should be requested; however, it may lead to the decision in requesting a NCE as remaining funds may indicate that one portion/aim of the award has yet to be completed.

- ♦ Department will provide a monthly review of awards, specifically looking for awards that have a term date within 90-days.
 - ♦ Email notifications will be sent to PIs seeking information whether they believe there is a need for a NCE or if the award is expected to term on the current completion date.
 - ♦ Please note, Internal awards (Zweig, Riney, FHC, RRG, RAH) terming email notifications will be sent 30 days prior to the term date. Research office (Melinda Cirri) does not want requests for extensions until the month the award is terming. You may receive duplicate notices from us (DCS) and Melinda indicating the upcoming terming of an internal award.
 - ♦ Department will assist as able to provide any information the PI may need to complete the request (templates, the need for progress reports, financial information, etc.).
 - ♦ During the NCE request period, we recommend to limit spending of those research dollars as we await Sponsor approval of the extension. We understand that's not always possible but if the Sponsor does not approve of the extension, the responsibility to cover those dollars spent is that of the PI with unrestricted dollars.

No Cost Extension Process

- PIs will complete and provide all necessary information / NCE forms and share with the Department (Kelly Lewis & Theresa Lagasse)
- Department will submit requests into RASS (External Awards) or send forms to Melinda Cirri (Internal Awards)
- Department will track status of requests and provide any necessary follow up
- Once approval / denial of extensions are received, department (Kelly) will update all reporting deadline calendar notifications / reminders.

Award Closeout

- ♦ Pending response from the 90-day terming notification email, if the award is set to term on the current end date, we then begin the award closeout phase.
 - ♦ Spending of research funds should ideally begin to wrap up 90 days before the term date. This allows time to receive all items and pending invoices prior to end of project. There should be no large supply, or equipment purchases within the last 90 days. Purchases within the last 90 days tend to lead to additional audit questions if and how the expenses benefited the project.
 - ♦ During award closeout, the Department will review balances and transactions for allocability and allowability. Supplies must be received and used before the term date in order for the expenses to be allowable (Supplies must benefit the project and of course also be within budget guidelines).
- ♦ Reporting
 - ♦ Report deadlines are established by the funding entity and will be listed within the terms and conditions of the contract/agreement (May contain progress reports, financial reports, final technical reports, intellectual property/patent, etc.).
 - ♦ Department will add calendar reminders for Faculty 1 month prior to when the report is due. Reminders via email will be sent 2-weeks prior to the report due date.
 - ♦ Warning - Sponsors ARE with holding payment of bills and new funding for missing reports (which include progress reports for multi-year awards).

Questions?

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