

## Outline for HRA Grants Administration Handbook (Last Updated 7/28/2021)

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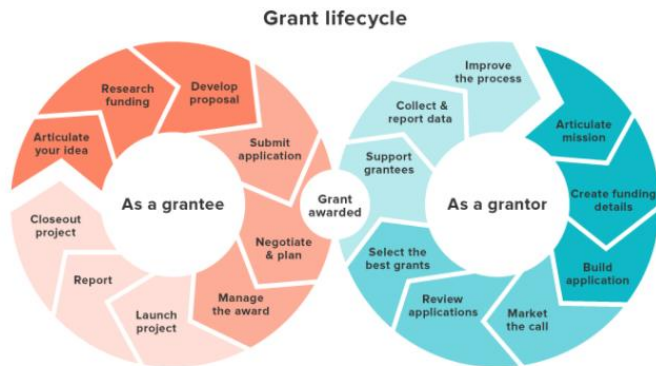
### 1) New to Grants Management and Administration

- a) Purpose of this Grants Administration Handbook
- b) What is Grants Management
- c) Roles and Responsibilities for Grants Management and Administration
  - Governance Structures
  - Job descriptions – templates and examples from HRA members

### 2) Getting Started

- a) Grants Life Cycle (for grantors vs grantees)

Here are each of the ten basic steps in the cycle:



### 3) Types of Funding Mechanisms

- a) **Grant** - Funds granted to a person or organization to pay for specific work. Most research funding is through grants. A grant recipient must be a registered 501 (c)3 nonprofit organization.
- b) **Endowment** - Funds that are given to an organization to be invested to create a source of income for the organization.
- c) **Prize** - Given to a person or organization to recognize achievements, including incentive prizes that are awarded after achieving a set of pre-specified goals.
- d) **Contract** - A legally binding and enforceable agreement that protects the interests of each organization represented in the contract. In the terms of the contract each organization's specific obligations will be noted. The contract may be modified or canceled if either party does not meet the specific terms of the arrangement.
- e) **Cooperative Agreement** - Similar to a grant with the distinction that it provides for substantial involvement between the funder and the recipient in carrying out the proposed activity.
- f) **Direct Research Support** - Support for “intramural” research programs (including HHMI investigators).

- g) **Impact Investment** - Funds invested that aim to serve both a charitable purpose and achieve financial return. They can be classified as a “Mission Related Investment” (MRI) or a “Program Related Investment” (PRI).
  - i) MRIs
  - ii) PRIs

#### 4) Creating the Application

- a) Applicant general information
  - Demographics (DEI group)
- b) Types of Proposals
  - i) Letter of Intent/Inquiry (LOI)
  - ii) Full Proposals
  - iii) Letter Proposals
- c) Common Components
  - i) Scientific/Research Proposals
  - ii) Other ie, Outreach Programs/Community Development, etc

#### 5) Application Process

- a) Application Submission
  - i) Paper/email vs online platform
  - ii) Policies
- b) Grants Management Software
  - Needs Assessment Checklist (feature and functions)
  - Grants Management Systems used by members:
    - (a) Survey results [Here](#)
    - (b) HRA Members present Community Force and Foundant [[Webinar](#), January 16, 2019]
  - Software Vendors
    - Consumer Guide to Grants Management Systems, 2020 Edition: [Here](#)

#### 6) Marketing the Funding Opportunity

- Request for Proposals/Applications (RFP/RFA)
  - Mission
  - Eligibility
  - Evaluation criteria
  - Important terms and conditions (e.g. overhead %)
  - *[Note: Part of RFA development is identifying the target audience – this could be cross-ref'd to definitions developed by the Research Workforce and Early Career Development Working Group]*
- Dissemination (locally and globally)
  - Social media
  - Institution newsletters/networks
  - Press release

#### 7) Review Process

- a) What is Peer Review (Programmatic Review)
- b) Oversight
- c) Internal vs External Review
  - i) Administrative and Technical Review
  - ii) Scientific / Programmatic Review

- iii) [Listserv Responses: Culling LOIs \[October 2018\]](#)
- d) Review Committee
  - i) Roster (or composition)
    - Selecting members
  - ii) Roles and Responsibilities
    - Examples of committee descriptions
- e) Conflict of Interest
  - i) Definition
  - ii) COI Policies
- f) Reviewer Guidelines
  - i) Templates and examples from HRA members
- g) Scoring/Grading Process
  - Levels of Peer Review – one-stage, multi-stage, etc.
  - Scoring Scale
  - Analyzing reviewers scores: [Here](#)
- h) Review Meetings
  - meeting format (in-person, virtual) and frequency
    - i. [Transforming to Virtual Scientific Conferences](#)
    - ii. Running a Successful Virtual Peer Review [Webinar](#)
  - best practices
- i) Summary Statements and Feedback to Applicants
- j) Addressing Bias in Peer Review
  - (Webinar: [Here](#))
- k) Resources
  - Transparency, Recognition and Innovation in Peer Review in the Life Sciences [ASAPBio [Meeting Summary](#), February 2018]
  - [Validity of Peer Review Examined by AIBS](#)
  - [AIBS Risk evaluation in peer review of grant applications](#)

## 8) Awarding Funding

- a) Governance – who approves fundable slate
- b) Award notification/announcements
  - i) To grantee
  - ii) To public
- c) Standard Terms and Conditions
  - i) Templates and Examples from HRA members/NFRI
    - Examples of Language: [Here](#)
    - Allowable expenses
    - Indirect costs: [Here](#)
    - Intellectual Property/Revenue Sharing
    - Publications
    - Indemnification
    - Acknowledgments
- d) Grant Payment

## 9) Post-Award Grants Management

- a) Reporting Requirements
  - i) Progress (and Financial Templates: [Here](#))
    - Invention Reporting

- ii) Financial (See above)
- iii) Special situations
- b) Requests for Change(s) to Award
  - i) Change of Personnel
  - ii) Change of Institution
  - iii) Change of Scope
  - iv) Rebudgets
  - v) NCEs (No Cost Extensions)
- c) Final Reports/Closeout Requirements
  - Questions to Consider for the Grant Close Out Process
    - When to close?
    - What is the process for closing an award?
    - Who is authorized to close an award?
    - What documentation is retained in closed grant files?

## 10) Outcomes/Output Monitoring and Tracking, Impact Reporting

- a) Tracking Researchers
  - i) Tools and Resources
    - ORCID
      - (a) Sheila Rabun's slides: [Here](#)
      - (b) Jamie McKee's slides: [Here](#)
- b) Tracking publications and other dissemination
  - i) Tools and Resources
- c) Communicating Impact
  - i) Tools and Resources
    - Understanding Visual Intelligence & Data Visualization [Webinar](#)
    - Finding, Evaluating, and Promoting the Impact of your Research for Nonprofit Funders – how to use the new Dimensions functionality [Webinar](#)
- d) Program Evaluation
  - i) Tools and Resources
    - *[Cross-ref with resources under Program Evaluation Working Group]*
    - [Listserv Responses: Evaluation Platforms \[May 2018\]](#)
- e) Post-award surveys
  - member templates?
- f) HRA Resources
  - HRA Analyzer
  - HRA Open

## 11) Open Access/Data Sharing

- open access protocols.io platform [Slide Deck](#)
- *[Cross-ref with resources on <https://www.healthra.org/working-groups/data-sharing/>]*

## 12) Global Grantmaking

- Beyond Borders: Go International Act Locally/Think Globally [HRA Meeting Breakout Session](#)

## 13) Legal Compliance and Reporting

- a) Audit - IRS
- b) Office of Foreign Assets Control - Sanctions Programs and Information

- c) Physician Payments Sunshine Act

#### **14) Records Management**

- a) Records retention requirements
- b) Records retention policy – templates and examples
  - *[Slideshow from [InPhilanthropy](#)]*

#### **15) Resources**

- a) HRA Resources
  - i) [NFRI resources](#)
  - ii) [HRA Analyzer](#)
  - iii) [HRA Open](#)
  - iv) [ORCID Consortium](#)
  
- b) Outside Resources
  - i) Grant Writing Resources (for Applicants)
  - ii) [PEAK Grantmaking](#)
  - iii) [Council on Foundations](#)
  - iv) [Council on Nonprofits](#)
  - v) [GrantMakers in Health](#)
  - vi) [Grant Professionals Association](#)
  - vii) [GrantStation](#)
  - viii) [Science Philanthropy Alliance](#)
  - ix) [NIH RePORTER](#)

#### **16) Grants Terminology and Acronyms (Glossary)**