Yale SCHOOL OF MEDICINE

PARTNERING WITH UNIVERSITIES FOR COMMUNITY-ENGAGED RESEARCH

A Guide for Community-Based Organizations

SEICHE at Yale

Equity Research and Innovation Center
Yale School of Medicine

CRE
Center for Research Engagement
Yale School of Medicine

TABLE OF CONTENTS

WHAT IS IT?

Community-engaged research involves partnership-building between community members and academic researchers. However, an area that is often overlooked by both partners before collaborating on a research project is the business side of how to work with an academic institution.

The current guide is intended to help community partners familiarize themselves with the business processes associated with community-engaged research as well as prepare for the pre-award and post-award grants management process when working with an academic researcher.

The guide was developed from a template provided by the Fiscal Readiness Initiative, a collaborative partnership between the North Carolina Translational and Clinical Sciences (NC TraCS) Institute, the Office of Sponsored Research (OSP) at the University of North Carolina at Chapel Hill, and community experts. It has been edited by members of Yale's Center for Research Engagement, the SEICHE Center for Health and Justice, and their community partners, so that this handbook is applicable to those engaged in research with academic researchers within Yale University.

Who is it for?

Any community partner who works with academic researchers, including those in leadership roles at community-based organizations, faith-based organizations, health-related organizations, and other organizations who are interested in community-engaged research. This includes:

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

HOW DOES THE GUIDE WORK?

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

The guide contains five sections:

1. **Background and Introduction**
2. **Pre-Award Period** – review this section if your team is working on submitting a grant proposal
3. **Post-Award Period** – review this section if your team has received grant funding
4. **Tips and Things to Consider**
5. **Appendix** - checklists, resource lists, case examples, and templates

NEED HELP?

For questions or clarification on grants management issues that are specific to your proposal or grant application, please refer to Yale's website: https://your.yale.edu/research-support/office-sponsored-projects.

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

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

BACKGROUND AND INTRODUCTION

Community Engagement and Research – An Overview

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." [1] This includes conducting community-engaged research. While this type of research is not new, there has been an increased emphasis on community partners' active involvement in collaborative research partnerships with academic investigators to ensure that the research results and outcomes are meaningful to the community.

There remains a great need to improve health outcomes and social determinants that impact health, particularly among communities that are most affected by health issues. [2] Promoting the participation and engagement of communities in research is essential to effectively addressing access to health services and social and environmental issues that affect health. [3,4,5]

What is Community-Based Research?

Broadly, community-based research is the process of investigating a research topic which has relevance to a certain 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 and has the potential to produce results that are directly relevant to a community.

Community-based research is primarily conducted in, rather than conducted with, communities. Often led by academic

[1] Centers for Disease Control and Prevention (CDC). Principles of community engagement. CDC/ATSDR Committee on Community Engagement. 1997.
[2] Jones L, Wells K. Strategies for academic and clinician engagement in community-participatory partnered research. JAMA 2007; 297(4):407-10.
[3] Institutes of Medicine. Promoting Health: Intervention Strategies from Social and Behavioral Research. Washington, DC: National Academy Press; 2000.
[4] Tunis SR, Stryer DB, Clancy CM. Practical clinical trials: Increasing the value of clinical research for decision making in clinical and health policy. JAMA. 2003; 290:1624-32.
[5] Zerhouni EA. Translational and clinical science – Time for a new vision. N Engl J Med. 2005; 353:1621-1623.

researchers, this one-directional 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 that involves the community in one or more stages of the research process. This could include identifying and refining the study question, defining outcomes, having input on methods, creating a recruitment plan, participating in data analysis, interpreting results, and assisting with dissemination. Three types of communities – the health-providing and health-seeking community, research community, and research administration community – drive the successful implementation of a community-engaged research project.

CEnR strengthens the available body of research and is intended to improve the well-being of a community. By engaging with communities, researchers can build trust and gain critical insight into research questions, design, and methods, thereby increasing knowledge about and evidence of health-related issues.

Unlike community-based research, CEnR recognizes and incorporates the expertise of community members and emphasizes shared resources, shared authority, supportive relationships, and collaborative learning while embracing diversity. It is important to learn about a community's history, culture, economic and social conditions, political and power structures, norms and values, demographic trends, and experience with research. Partnering organizations receive funding for the expertise and resources they bring to the 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." [6,7,8]

CBPR approaches research as an equitable partnership that involves expertise and contributions from community members, organization representatives, and researchers in each step along the way. This approach allows communities and organizations to be directly invested in the process. Successful CBPR may require skill- and capacity-building at the community level but has the advantages of incorporating community perspective and expertise about a topic of interest to both the community and the researcher. In grants management, community partners are 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 research results to the community. CBPR also has the potential to lay a foundation for a long-term successful community-academic partnership.

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

- Knowledge of the principles of community-engaged research
- Understanding of fundamental research methods
- Familiarity with fiscal and administrative requirements of research
- Being open to shared decision-making with research partners
- Committing and willing to dedicate staff time and energy to research, including completing requirements for HIPAA and confidentiality agreements
- Having the organizational infrastructure to manage fiscal and administrative requirements

---

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

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

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

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

The research administration community, which includes sponsored research offices, institutional review boards, and human resources, helps to ensure that the processes of submitting a grant (pre-award) and managing a grant (post-award) comply with the guidelines set by both the academic institution and federal government. Institutional review boards are formally designated institutional committees that review, manage, and monitor research. Because research funding often comes from federal sources and therefore tax revenue, stringent regulations are put into place to ensure that taxpayer dollars are being spent wisely.

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

Navigating the grants management process requires an understanding of the roles of different members of the team:

COMMUNITY ORGANIZATIONS	**Community organizations** often have ties to specific communities and are important relationship builders with community members, who may choose to participate in research projects.
ACADEMIC PARTNER	The **academic partner** usually consists of researchers who work within a certain school, research center, or department. Research projects can also involve multiple academic partners from different institutions and universities.
PRINCIPAL INVESTIGATOR	The **principal investigator (PI)** is the researcher on the grant who leads the research team. This role can be held by either an academic or community partner depending on their experience and expertise; both academic and community partners can also share this role as co-PIs.
RESEARCH TEAM	The **research team** consists of the community organization, the academic partner, and their respective staff.
BUSINESS OFFICE	The academic partner's center or department has a **business office** that academic partners and community partners interact with to submit forms related to subcontracting and reimbursement. The university business office is accountable to the university's Office of Sponsored Projects (OSP).
OFFICE OF SPONSORED PROJECTS	The **Office of Sponsored Projects (OSP)** ensures that the university is following requirements for federal grants that come from the federal government's Office of Management and Budget.

How to Use This Guide

This guide provides an overview of important components in the grants management process for your team. It is recommended that you share necessary information early on with your academic partner, set aside enough time to prepare information requested by the university business office, and prepare members of your collaborative team to complete necessary trainings. It is important that the collaborative team include members of your organization that have solid knowledge about the fiscal operations of the agency and are empowered to make key decisions as needed.

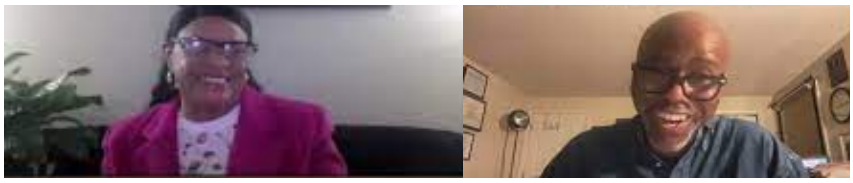
This guide includes two core sections:

PRE-AWARD

- The **Pre-Award section**, which covers:
  - The preparation prior to and including the submission of a grant proposal
  - The review pending period while the team is waiting to receive word from the funding agency about the status of a grant proposal

POST-AWARD

- The **Post-Award section**, which covers:
  - The period once the team receives the notice of award (NOA) from the funding agency
  - Grant management for the duration of the grant
  - Close-out reports and other preparations for the end of the grant



Natasha Ray, Director - New Haven Healthy Start, hosting Fatherhood Fridays YouTube program

In addition to sections on the Pre-Award and Post-Award periods, this guide also includes:

- Tips and things to consider
- A brief list of acronyms and terms that may be helpful when working with your team
- Letter of support template and sample
- Sample biosketches

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

This guide may not answer all questions that your community organization will encounter in the research process, since different types of community partnerships may have specific requirements or concerns. It is also not a substitute for any additional guidelines put forth by the academic department, center, or Office of Sponsored Projects that your academic partner is affiliated with, or internal guidelines from your own organization. Some funding announcements or application requests have specific guidelines that overrule standard guidelines or policies. Also note that regulations and policies change over time. Subsequently, it is important to remain up-to-date and in frequent communication with your academic partner and affiliated business office.

Yale CIRA REIDS program

THE PRE-AWARD PERIOD

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

Deciding to partner with an academic institution to secure funding for a research project is a big step. Funding agencies and the public are seeking research that can produce generalizable, efficient, and sustainable outcomes. Several key decisions need to be made before your organization decides to be a partner in preparing a grant proposal.

General Partnership Considerations

- Why is your organization interested in this research? How will this partnership benefit your organization and the constituency it serves?
- Do you and your potential academic partner have aligned interests and priorities? Will they be responsive?
- Are university research administrators available to respond to grants administration questions as needed?
- Are all the key stakeholders represented in the partnership? Is there a clear and equitable decision-making process?

Organization Leadership Considerations

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

Fiscal Considerations

- Is your organization in good fiscal standing and are you prepared to share significant information about its fiscal operations to join a community-academic partnership?
- Does your organization have a designated staff person to focus specifically on fiscal issues?
- Will travel be necessary? Where will travel funds come from in the pre-award period?

- Depending on the type of grant application and the funding agency, is everything in place to hire and pay employees or staff on the grant application? Is your organization prepared to consider issues of withholdings, taxes, insurance, citizenship, and subcontractor reimbursement?
- Do you have funds to start working on the grant ("at risk") before the funding arrives at the organization?

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

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

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

Prepare to work closely with your academic partner to follow the university's grant administration protocol. Most pre-award tasks involve gathering information that is required by grant applications or materials that must pass through and be signed by a university departmental business office or the OSP. Expectations and procedures may slightly differ between university business offices. For instance, some business offices prefer that requests from all partners are communicated through the PI, while others are open to the community partner contacting them if the PI is included in the request. The point is to be prepared to work with the staff members in these offices to prepare and submit the grant proposal. They are familiar with the language in the Request for Proposals (RFP) and have contacts with funding agencies who can provide guidance and clarification when preparing the grant proposal.

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

THERE ARE FOUR PHASES TO THE PRE-AWARD PERIOD:

PHASE ONE: PARTNERSHIP CONNECTION

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

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

- Communication
  - Are you able to have clear and transparent communication?
  - Is there a dedicated liaison and back-up person on the academic team to communicate with your community organization?
  - Do you have a dedicated contact person for business matters at the university (e.g. academic business office manager or staff person)?
- Is your relationship based within a common interest? Is there established trust in the relationship?
- What is your academic partner's interest and experience with the topic of interest?
- Does your academic partner have a good understanding of policies and requirements from the university's business office?
- Does your academic partner have a good understanding of community-based participatory research (CBPR) principles?
- What is your academic partner's experience with grants and university processes?

- Does your academic partner have an interest in building the community's capacity as part of the research project?
- What is your academic partner asking of the community in terms of study participants and recruitment needs?

Signs to be careful:

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

Things community organizations should consider about their own capacity:

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

PHASE TWO: PREPARATION

This process often begins with a Request for Proposals (RFP), also sometimes referred to as a Request for Applications (RFA) or a Funding Opportunity Announcement (FOA), from a funding agency that alerts organizations that it has funding available for research that addresses a particular problem or focuses on a specific population. The RFP needs to be reviewed thoroughly as it provides instructions and supplemental information about how to prepare

the grant proposal. The RFP provides specific guidance about what types of organizations are eligible to apply for the funds as well as the required qualifications of the PI, format of the grant proposal, submission instructions, and due dates. Once you plan to submit a grant application, the academic partner should alert the department business office so that the research administration staff in the business office and OSP can prepare to provide information that will be needed to successfully submit the application.

Preparation involves gathering materials, completing trainings (e.g., human subjects research training), and coordinating with personnel and facilities prior to submission.

Steps that might be helpful during the preparation phase include:

- Review the RFP and discuss the expectations of the proposal.
- Review the information that will be requested from you as the community partner and the timeframe in which it will be needed.
- Identify and discuss the conceptual framework for the proposal with the academic partner.
- Have preliminary conversations so that all partners gain clarity on their roles, responsibilities and contributing tasks.
- If there is a specific flow chart, timeline, or other guidance about how the application will be processed, ask your academic partner for copies and discuss. If one does not exist, work with your academic partner to create a joint timeline of tasks and responsibilities.
- Start from the submission date and list each step that will be required, working backwards. For instance, include dates for when the budget needs to be finalized, when major text sections are due, etc. Keep in mind that the business office often has an internal deadline prior to the RFP deadline.
- Identify primary and back-up contact people within each organization for communicating about the proposal and for addressing problems as they arise.

- Introduce the organization's staff to members of the academic team that will be involved in the proposal preparation process. Explain the roles of all those involved.
- Ensure that there is a clear understanding of the costs (budget) required to perform the specific project or service. Consider the internal capacity of the organization to successfully manage costs that need to be reimbursed in addition to upfront costs.
- If the organization does not have a conflict of interest (COI) policy, it will need to accept Yale's COI policy.
- Consider the strengths of the organization so that they can be highlighted in the proposal. Take time to carefully describe characteristics such as:
    - Length of time the organization has existed and has been working in this field and with this community
    - Specific history of the organization as it relates to the proposal
    - Breadth of community support for the organization and its work
    - Organizational chart
    - Sources of funding for the organization's activities, including funding successes
    - Other resources that can contribute to the organization's work
    - Volunteer and paid staff support for the organization's work
    - Experience with successful partnerships
    - Experience with research and negotiating budgets for activities performed
    - Special recognition or acknowledgments related to the proposal
    - Positive stories of participants and media coverage that highlight experience and capacity

What may an academic partner ask for during the process of preparing the application?

There are number of internal procedures and policies that the collaborative team must follow to minimize delays in the internal approval process. Take time to review the RFP and become acquainted with the requirements. This exercise can help you to identify some materials or documents that your organization can prepare and have available when you start to write the grant proposal.

As a research partner, your organization will most likely be considered by Yale to be a subrecipient. Among other materials, you may need to complete a Subrecipient Information and Compliance (SIC) form and provide a Statement of Work, Facilities and Administrative (F&A) rate agreement, budget, and budget justification.

Subrecipients usually perform a specific function of the research project and must be written into the budget of the grant in order to be paid with grant funding. Federal and university guidelines require that subrecipients use funding in accordance with the law, regulations, and contract/grant agreements. In granting subawards, the university assumes the responsibility of providing oversight and ensuring that subrecipients are eligible to receive federal funds.

Although the PI is ultimately held accountable to the university and federal agencies for compliance issues, in practice, the community partner lead and the PI are both responsible for monitoring and assuring that your organization has the appropriate financial system to manage sponsored funding. Make sure that your organization does not have outstanding audit issues that will negatively impact the overall project.

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

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

- Tax exempt status
- Data Universal Numbering System (DUNS) number, a unique nine-digit number identifying a specific business or entity
- eRA Commons Identification Number, used to access and share information related to NIH grant administration
- Facilities and Administration (F&A) Rates (use the federally set rate if your organization does not have one)
- Letter of Intent
- Letter of Commitment
- Federalwide Assurance (FWA) that the organization will comply with human subjects protection (can use Yale's Institutional Review Board if your organization does not have an existing IRB relationship)
- Memorandum of Understanding
- Conflict of Interest Certification (use Yale COI policy if your organization has not applied for its own certification)
- Budget and Budget Justification

Developing a Budget

As a subrecipient, you will need to formulate a budget to demonstrate the expenses that your organization expects to incur as a part of the research project. This will be submitted along with the project's overall budget. Before starting to create your budget, speak with the PI about any limitations on costs or types of costs that you should be aware of. There are often many budget requirements that dictate the kinds of costs, or a limit on costs, that can be included in a budget. Only allowable costs can be included in your budget and are defined by the terms of the award or the award's sponsor; for example, agencies such as the NIH post extensive guidelines about what costs can and cannot be included in budgets submitted to the NIH.

In addition, it is important to carefully think through all of the expenses that your organization will incur over the course of the research project while simultaneously ensuring that the costs included in your budget are necessary and reasonable. Make sure to account for any personnel, equipment, and travel costs as applicable to your role in the project.

Broadly speaking, there are two kinds of allowable costs that will be in your budget: direct costs and indirect costs. Indirect costs are also known as facilities and administration (F&A) costs. Direct costs are directly related to a component of the research project, while F&A costs are not associated with a specific research

project. Some examples of F&A costs include office supplies, utilities, and building operations; it would be difficult to pinpoint the exact amount of F&A costs that your project will necessitate. F&A costs in a budget are usually determined by a pre-determined F&A rate and some portion of the direct costs, known as a modified total direct cost (MTDC) base.

Per Yale policy, the MTDC base **includes** the following direct cost components:

- Direct salaries and wages
- Applicable fringe benefits
- Materials and supplies
- Services
- Travel
- Up to the first $25,000 of each subaward

Meanwhile, the following direct cost components are **excluded** from Yale's MTDC base:

- Tuition as well as scholarships and fellowships
- Capital expenditures (funds to acquire, upgrade and maintain physical assets)
- Equipment
- Charges for patient care
- Rental costs
- Participant support costs

Importantly, every institution negotiates its own F&A rate and rate base, which doesn't always involve a MTDC base. F&A rates can also vary by activity. Always check with the PI or business office when calculating the F&A costs, as it can vary over time, in different circumstances, and for each sponsor.

You and your academic partner should be clear on roles and responsibilities for each section of the grant proposal and for implementation of the project should it be funded. Grant proposal writing is an iterative process that involves multiple revisions, so be aware that many sections may be shortened or edited.

PHASE THREE: SUBMISSION PHASE

This is the final check and actual submission of the grant application. You and your academic partner should do a final check to make sure all information is incorporated. While the business office and the OSP will thoroughly review the list of materials needed for the application, the PI is ultimately responsible for every aspect of the final submission.

The pre-submission review of your application by the academic department and OSP ensures that university, state, and federal policies have been followed. This review protects you and your academic partner and minimizes unanticipated problems if you receive an award.

The pre-submission review will often catch administrative errors or missing information in the application. It is a good idea to share information about your organization's internal review and decision-making process with your academic partner so they can factor in the time needed to receive approval from your organization. For instance, you may need to obtain approval from your organization's executive director, business office, legal counsel, 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.

Dr. Marcella Nunez-Smith leading a group discussion on community-engaged research.

PHASE FOUR: REVIEW PENDING PERIOD

This is the time between submitting the grant application and receipt of the notice on the status of the award. Whether an application receives subsequent notice of funding or not, this is the time to prepare the team for next steps. Often, investigators do not discuss potential next steps if an application is not awarded funding or share realistic expectations about the probability of funding with their community partners.

For some agencies such as the NIH, you can expect to wait 6-8 months before receiving word on the status of your application. During this waiting period, you may need to cover organizational expenses, conduct other projects, and develop plans to incorporate the proposed research into your existing scope of work. This time is also an opportunity for community and academic partners to further develop their relationship by discussing lessons learned during the submission process or generate the next set of research ideas.

What happens after the application is submitted?

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

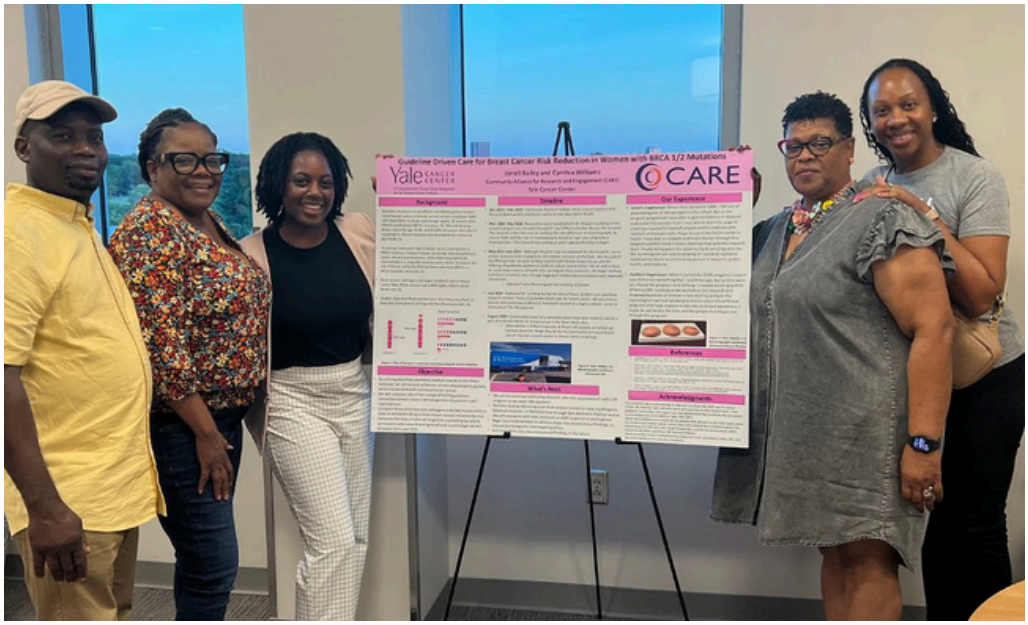
Your academic partner may ask for your help in responding to Just-In-Time requests from funding agencies, which may occur after the application is reviewed but before a funding decision is made. These usually have very short turn-around times. The funding agency may have additional questions for the research team or will ask for more documentation before making a final decision.

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

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

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

As an integral part of the research team, you have the responsibility to make decisions that help accomplish the goals, purpose, and requirements of the grant and your organization. The pre-award period is a good time for your organization to be vocal in expressing any management or financial concerns surrounding research responsibilities which will impact your organization operations or your community.



CARE poster presentation

THE POST-AWARD PERIOD

Grant funding is an exciting step which reflects hard work, dedication, and vision. The post-award process involves the allocation of funds and management of the funded project. This management involves daily monitoring as well as the submission of written reports and status updates, accounting, budgeting, communication, and careful documentation.

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

Following receipt and acceptance of an awarded grant, the OSP Award Setup team will gather the information needed to create an account in Yale's system. Yale has many online tools used to keep track of ongoing research grants and funds. In this case, information about the award will be entered into the Proposal Tracking (PT) system, which is a part of the larger Integrated Research Enterprise Solution (IRES) database. The OSP Award Setup Team will also ensure that all necessary regulatory and university requirements are satisfied (e.g., COI, IRB/IACUC approvals).

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

The Community Alliance for Research and Engagement (CARE) New Haven neighborhood health survey.

Subrecipients

Your organization will usually be designated as a subrecipient, also known as a subawardee or subcontractor; subrecipients are responsible for conducting a significant portion of a sponsored project and notably has responsibility for the design, conduct, or reporting of the research. As a subrecipient, you will receive funding through a subaward. Once a NOA has been received, the OSP Subaward Manager will prepare the subaward, which will be assigned a Yale Subaward Number, which includes the GR number and Supplier Contract Number. The subaward will be reviewed by the business office and PI before being sent to you as the subrecipient.

Independent Contractors

Being designated as a contractor, vendor, or supplier is another way in which grant funds can be shared with individual community partners so they can be compensated for completing research activities. This role is distinct from that of a subrecipient and usually implies that the entity provides goods and services but does not participate in the design, conduct, or reporting of the research.

Some sponsoring agencies will provide their own designations of a subrecipient versus a vendor, supplier, or contractor, so it is important to check their specific criteria. Otherwise, the decision is usually made by the PI, their department business office, and the OSP. This distinction affects the kind of work that the entity conducts and the requirements that the entity needs to follow. For example, designating an entity as a contractor at Yale involves a separate department with its own requirements, paperwork, and payment terms.

Why is the grants administration post-award period important?

The grants administration post-award process requires coordination by a variety of stakeholders including PIs, university business offices, sponsoring agencies, and award management teams. Careful adherence to grant guidelines and regulations are crucial to ensure that the grant budget is maintained, proper payments are made, the grant proposal's end goals are met, and the process as a whole complies with relevant federal, state, and university regulations.

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

Your academic business office plays a very critical role in all aspects of the administration of externally funded research and will help you ensure that your research is in compliance with federal, state, and university policies and regulations. The business office is a valuable resource in terms of regulations and sponsor requirements. Keeping the office informed and proactively complying with policies and regulations will help streamline the post-award process. The business office may have more knowledge of some requirements and guidelines than the PI or research team and must approve financial transactions.

The post-award period involves four phases when conducting research: preparation, management, reporting, and close-out.

PHASE ONE: PREPARATION

There are procedures to follow once a NOA is received. Your organization will typically have been designated as a subrecipient, so funding will be allocated to your organization as a subaward. After the award has been processed by OSP, the OSP Subaward Manager will ensure that the university has enough information to prepare the subaward. The subaward will be sent to the relevant business office and the PI on your project before being sent to you, although there is often a delay between NOA receipt and release of the subaward. Importantly, if your organization is instead designated as a contractor, there will be a different process of allocating funding.

An initial team kick-off meeting should then be held with representatives from the research team, community partners, and business office representatives to review the subaward terms and conditions and firmly establish specific roles, responsibilities, and communication channels. It is imperative that all involved parties understand the internal and external policies and the specific grant management responsibilities required by the funding agency.

Your project budget should have been laid out when the application was submitted. However, budget modifications may be necessary if your award amount was reduced by the funding agencies, or personnel or budget allocations changed since the grant proposal was submitted. Changes to the subaward, if allowed by the funding agency, should be prepared by the relevant business office and OSP.

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

PHASE TWO: MANAGEMENT

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

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

Urban League of Southern Connecticut community forum

Invoicing

Invoicing must be completed at least quarterly, monthly if possible; specific invoice payment terms will be outlined in the award agreement. Invoices must be approved and signed by the PI, then submitted to the academic business office for processing. The payment from the university can be mailed as a check or automatically deposited into the subrecipient's or the independent contractor's bank account.

Expense Reports

One of the responsibilities of a subrecipient is to ensure that expenses are accurately recorded and reconciled in a timely manner. Sharing expense reports on a monthly basis with your academic partner and the business office is necessary to ensure that funds are being used in a transparent manner. Moreover, in expense reports, line items should be grouped by categories that typically match the grant's budget categories. These reports should also show the past month's expenses and future projected expenses. These expense reports are valuable tools with which to plan for cash advance requests so that your organization has adequate cash flow to conduct research activities.

PHASE THREE: REPORTING

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

Each grant will have different requirements for financial reporting and the frequency of reports. These reports are produced by OSP and include a summary of expenditures for a specific time period based on information provided by the business office. These reports require research and business information from community as well as academic partners. The academic partner may request information from you as the community partner, ideally well ahead of time, to ensure the ability to meet both internal and sponsor deadlines. It is very important that accurate

and timely financial information is provided by the academic and community partners to the business office on a regular basis.

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

PHASE FOUR: CLOSEOUT

Closeout refers to the set of procedures that are required by the funding agency and university when a grant award expires. OSP oversees all closeout procedures, which include the submission of a Financial Status Report (FSR), among other documentation. OSP sets an "adjustment period"—the time after a grant expires and before documentation is due. After the financial report is received by OSP, OSP will verify and reconcile the necessary inancial information before certifying and submitting the finalized report to the funding agency.

All documentation for these reports must be kept for 3 years from the submission date of the reports.

No-Cost Extensions

If by the end of the project there are funds that haven't been spent, and the project work has not yet been completed, a request for a no-cost extension may be made. Most federal agencies allow OSP to review and, if needed, internally approve a one-time no-cost extension which can extend the project for up to 12 months. A budget and justification must be prepared to explain how the remaining funds will be spent. In some cases, a second no-cost extension may be granted as well. Requests for no-cost extensions are usually made by the PI and procedures and timelines will vary depending on the funding agency and the award agreement.

Budget Reconciliation

After the grant expires, accounts must be reconciled so that the account balance reaches zero before the account can be officially closed.

Unused funds remaining after the grant ends are returned to the funding agency. the account is overextended, payment from another source must be provided so that the account balance equals zero before it can be closed.

POST-AWARD DESCRIPTION OF COMPONENTS

The following is a brief description of other key components of the post-award process.

Budget Modifications

If the subrecipient's scope of work changes over the course of the grant, and accompanying budget changes need to be made, it may be possible to modify the budget in collaboration with your academic partner after checking whether the NOA allows for budget modifications and submitting the appropriate documentation to OSP.

Carry-Forward

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

A budget and justification are often required by the sponsor to show how these carry-forward funds will be expended for the

project in the future and can only be submitted once all subaward invoices have been received and the relevant financial reports have been submitted. In particular, the budget and justification should reflect why the carry-forward funds are necessary in addition to the funding that has already been allotted for the next budget period. 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 subsequent approval is required in order for OSP to process the carry over.

Annual Reports

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

The budgets should be prepared collaboratively by both academic and community partners working with their business office so that they reflect expenditures by the primary grantee and subrecipients. 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.

SEICHE Center for Health & Justice 2022

TIPS AND THINGS TO CONSIDER

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

Grants Management Partnership Phases

Partnership Connection

- Spend time on relationship-building early
- Work on a small project together before writing a grant

Grant Preparation

- Work with your academic partner on grant preparation timelines
- Consider your organization's financial capacity, staff time commitment, and training needs
- Develop a communication plan with primary and backup contacts
- Be mindful of the application timeline; your documents are due earlier than the grant deadline
- Grants often take a year to be funded and even longer for contracts to be executed, so keeping expectations aligned with funding is important

Grant Implementation

- Hold kickoff meetings with academic partners and university business office staff to discuss financial and grants management policies, procedures, and timelines
- Set up internal accounting systems for regular financial reporting to the university and funders and discuss how the university will provide funds as soon as possible since community organizations do not have an “at risk” fund
- Set up internal systems for tracking invoices

Reporting

- With your academic partner, establish reporting timelines to meet funder and university requirements
- May include monthly fiscal reports, annual research reports, etc.

Organization Assessment

- Does the research project have formal approval by designated members of the organization?

- Have you been transparent with your organization's members? Do they approve all actions that will need to be taken on behalf of the organization? Your members will need to understand the commitment and be ready to make the investment.
- Has a spokesperson been identified and a chain of communication established to keep members of the organization informed about what is happening at each step?
- Have you examined the full range of benefits and risks? Do members of your organization consider the benefits worth the risks? Remember, you will need a lot of help from others in your organization to be successful.
- Take a good look at what your organization has to offer. How do you market your assets to your advantage?
- Assess your shortcomings. How do you plan to overcome any shortcomings of your organization?

Creating a Nurturing and Healthy Partnership

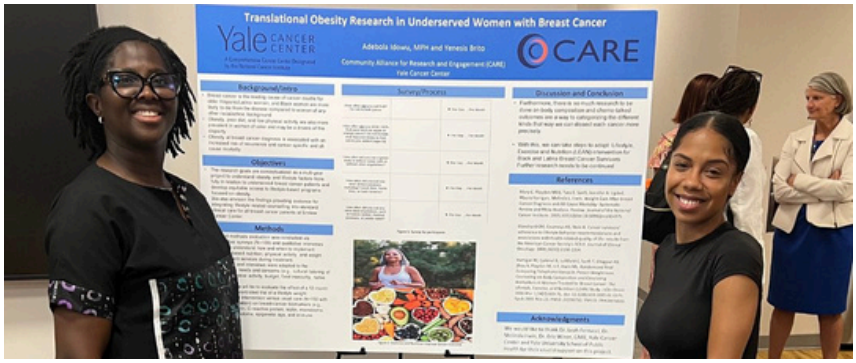
- Be careful in identifying a potential partner. Consider researchers that have demonstrated some interest in the community prior to the funding opportunity.
- Check the investigator's research history to assess their previous experience working in community research partnerships. If applicable, speak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

Community health workers Jerry Smart and Monya Saunders

Research Infrastructure

- Make sure that your organization does not have any outstanding or unresolved fiscal issues.
- Assess your capacity to be a partner in a research collaboration. Do you have the core resources necessary to execute a contract? An honest assessment is important.
- Respect different procedures and policies and be prepared to make changes for the benefit of the partnership.
- Acknowledge that funds for the project are often awarded to the academic institution and that the community organization receives funds through a subaward from the academic institution.
- As soon as possible, become involved in the writing and preparation of the grant proposal so that the role of the community organization is recognized and defined. Be mindful that the participation of community representatives at this point in the process is not paid time. Decide how engaged you can be.
- Create a communication plan. Decide how partnership members will communicate with each other. What communication methods work best for the partnership?
- Invest time and some resources into facilitating a launch of the partnership. Is an orientation session in order? How can you demonstrate your pride in the venture and share it with those important to you?
- How do you create procedures in your organization for the receipt and disbursement of the funds from the subaward? How do you ensure that everyone in your organization is aware of the limitations on the use of the funds received for the project?

- Is your organization ready to advance funds to start the project? Consider that subcontracts often operate on reimbursement rather than payment upfront.



CARE community research fellows

Grants Management

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

Proposal Writing and Grant Submission

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

- Review some sample Letters of Support (LOS) and be prepared to provide a LOS as requested for a grant proposal. Clarify who signs the LOS. Request enough lead time to process the LOS in your organization.

Research Ethics

- Identify ways to share research ethics protocols that protect people who participate in research with members of your organization.
- Do you want to use the partnership's creation as an opportunity to discuss research participation and research ethics with members of your organization?
- Clearly communicate expectations of the subaward to members of your organization so that members can ask questions as needed.
- Who in your organization will complete research ethics or CITI training? The Collaborative Institutional Training Initiative Program (CITI) provides online ethics training to investigators and staff conducting research with human participants. Completion of their training modules is recognized and required at many research institutions across the United States.
- How will you share the core of the training with the organization? Anyone connected with the implementation of the project will require CITI training.
- How will you augment the CITI training with specific information about issues of confidentiality, privacy, and data security?

CONCLUSION

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

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

APPENDIX

Pre-Award Checklist for Community Partners

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

Post-Award Checklist for Community Partners

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

Acronyms and Terms

Acronyms	Description
Biosketch	Biographical Sketch
CAB	Community Advisory Board
CAC	Community Advisory Council
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
DC	Direct Costs
DHHS	Department of Health and Human Services

Acronyms	Description
DUNS	Data Universal Numbering System
EBI	Evidence Based Interventions
eRA Commons	Electronic Research Administration Commons
F&A	Facilities and Administrative Costs (often referred to as indirect costs)
FDA	Food and Drug Administration
FOA	Funding Opportunity Announcement
FTE	Full Time Equivalent
FY	Fiscal Year
HIPAA	Health Insurance Portability and Accountability Act
IRB	Institutional Review Board
LOC	Letter of Commitment
LOI	Letter of Intent
LOS	Letter of Support
MOU	Memorandum of Understanding
MTDC	Modified Total Direct Costs

Acronyms	Description
NGA	**Notice of Grant Award**
NIH	National Institutes of Health
NOA	Notice of Award
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
OSP	Office of Sponsored Projects (at Yale)
PCORI	Patient Centered Outcomes Research Institute
PI	Principal Investigator
RFA	Request for Applications
RFP	Request for Proposals
RFQ	Request for Quotes/Quotation
SOW	Statement/Scope of Work

Terms

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

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

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

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

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

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

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

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

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

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

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

Collaborator - A university employee who volunteers their knowledge and time to a research project without monetary compensation. Often confused with the term “consultant” (see below).

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

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

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

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

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

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

Delegated authority - authorized individuals who may legally bind the university or obligate university resources.

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

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

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

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

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

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

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

Employer Identification Number (EIN) - Also known as Federal Tax Identification Number.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Grants.gov - The federal government's central portal for grant submissions.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Non-disclosure agreement (NDA) - An agreement between two or more parties which describes knowledge the parties would like to share with each other for a defined purpose in which they agree to not disclose information covered by the agreement. NDAs are also known as proprietary information agreements (PIAs) or confidential disclosure agreements (CDAs).

Office of Animal Research Support (OARS) - The division at Yale responsible for overseeing the use and care of animals used for research.

Human Research Protection Program (HRPP) - The division at Yale responsible for ethical and regulatory oversight of research involving human subjects.

Office of Sponsored Projects (OSP) - The university office responsible for oversight, administration, and financial management of contracts and grants.

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

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

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

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

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

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

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

Post-award - The time period and associated processes that occur between award notification and award closeout.

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

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

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

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

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

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

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

Proposal - A formal application for funding that contains all information necessary to describe project plans, staff capabilities, and funds requested. Formal grant proposals are prepared by the PI and officially approved and submitted by OSP on behalf of the university.

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

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

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

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

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

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

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

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

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

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

Sponsored research/project - Research activity supported by resources outside the university, including both federal and non-federal sources.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

CARE community forum

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],

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 its 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

Hypertension and Diabetes Alliance
100 Dandelion Way
New Haven, CT 06511

July 28, 2023

Dr. John Doe
Research Associate Professor Department of Chronic Disease Epidemiology
Yale School of Public Health
New Haven, CT 06511

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 Connecticut 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 Connecticut.

The Connecticut Diabetes and Hypertension Alliance (CDHA) 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 CDHA 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 Yale study focused on hypertension management so we are confident that we can provide advice and recruitment assistance for this Yale

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 Connecticut.

Sincerely,

Jane Flowers, M.D. Executive Director

Biosketches

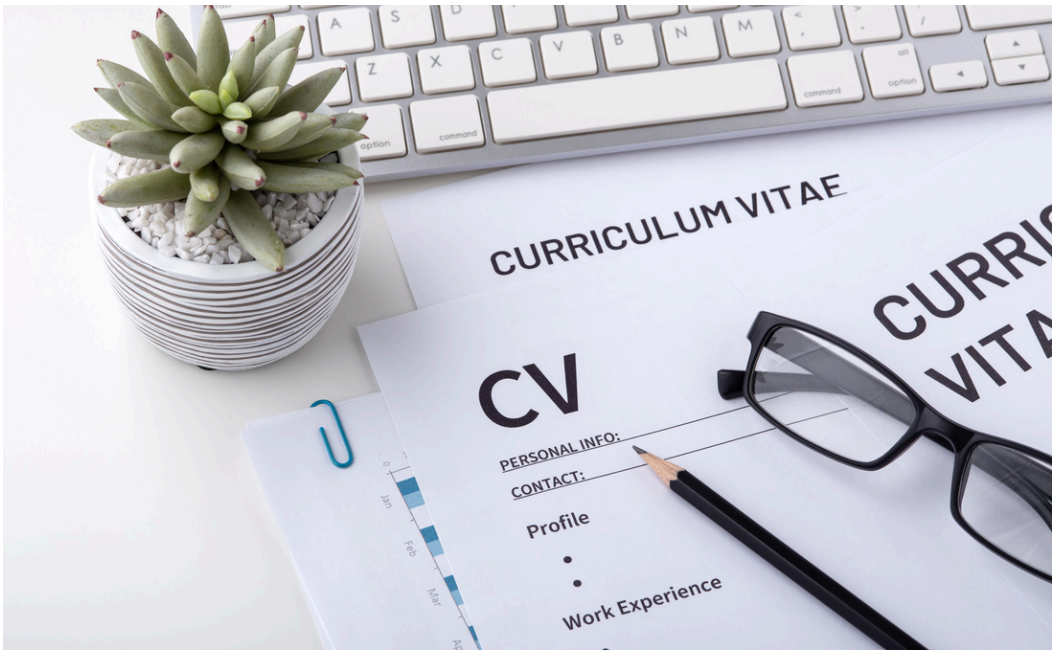
What is a biosketch and how does it differ from a curriculum vitae (CV)?

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 contained in 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 examples of biosketches from community partners.



Biosketch Example 1

OMB No. 0925-0001 and 0925-0002 (Rev. 12/2020 Approved Through 02/28/2023)

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: Virginia T. Spell

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

POSITION TITLE: Interim President & CEO, Urban League of Southern Connecticut

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
Southern Connecticut State University, New Haven Richard C. Lee High School, New Haven CT	BS Diploma	06/2024 06/1993	Business Administration General

A. Personal Statement

With more than 25+ years of non-profit management and professional experience in administering training programs and counseling, I am excited to co-lead this proposal with Dr. Brita Roy, a clinician-investigator. As a longtime resident of New Haven, I have worked on the community level to address racial inequity and racial segregation in housing, employment, and health care. If awarded, I look forward to addressing the role systemic racism plays in marginalizing the formally incarcerated and the family members that serve with them.

Dr. Roy and I and several other community partners contributing to this proposal have worked together for over eight years. Our team is well-positioned to successfully implement and test the proposed multi-level, multi-component intervention, TRUE HAVEN: TRUsted rEsidents and Housing Assistance, to decrease Violence Exposure in New Haven. TRUE HAVEN is a bold and innovative community-driven, assets-based intervention that addresses structural racism and the social context within which trauma persists by increasing the long-term stability, wealth, and well-being of minority neighborhoods affected by gun violence and incarceration.

B. Positions, Scientific Appointments, and Honors

Urban League of Southern Connecticut, Inc.,

Interim President & CEO	Current
Senior Vice President Empowerment Programs	2012 - 2020
Vice President of Fund & Curriculum Development	2009 - 2012
Vice President of Economic Development & Empowerment Programs	2006 - 2009
Vice President of Housing Programs	2004 - 2006

Connecticut Positive Action Coalition, Inc. (CPAC), Hartford, CT 1999 - 2004
Director of Employment Services
Board Chair, Continuum of Care Current
Board Chair, West River Neighborhood Services Corp. Current
HUD Certified Housing Counselor 2020
Dwight Hall Fellow, Yale University 2019
Executive Leadership Training, Greater New Haven Chamber of Commerce 2017
Community Leadership Program, William Casper Graustein Foundation 2013-2014 Leadership Training, Community Foundation of Greater New Haven 2012
Whitney M. Young, Jr. Fundraising Academy, National Urban League 2011
Whitney M. Young, Jr. Urban Leadership Training, National Urban League 2009

C. Contributions to Science

Bromage, B., Encendela, J.A., Cranford, M., Diaz, E., Williamson, B., Spell, V., Rohrbaugh, R., et al. "Understanding Health Disparities Through the Eyes of Community Members: a Structural Competency Education Intervention" Academic Psychiatry volume 43, pages 244-247

Biosketch Example 2

OMB No. 0925-0001 and 0925-0002 (Rev. 03/2020 Approved Through 02/28/2023)

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: DeAnna Hoskins

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

POSITION TITLE: President/CEO JustLeadership USA

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
College of Mount St. Joseph, Cincinnati, Ohio	BSW	2007	Social Work
University of Cincinnati, Cincinnati, Ohio	MA	2009	Criminal Justice

A. Personal Statement

I am President and Chief Executive Officer of JustLeadershipUSA (JLUSA), a national non-profit led by and dedicated to educating and empowering those most impacted by the criminal justice system. In this role, I oversee a team whose mission is to improve the health of Black and Brown communities most impacted by mass incarceration through empowerment and education and political advocacy. JLUSA has led and won national campaigns including CloseRikers and #JUSTUS on emergency preparedness during COVID-19. As an organization we have membership of thousands of formerly incarcerated people and we have trained hundreds as JLUSA Leading with Conviction Fellows. For decades, I have worked within the movements for racial and social justice centering my work on lifting up the voices most marginalized. I am also a national expert on federal and local criminal justice policies and best practices on how to train and support those returning home from incarceration. In the Obama administration, I oversaw the Second Chance Act portfolio as a Senor Policy Advisor at the Department of Justice and served as Deputy Director of the Federal Interagency Reentry Council. At the core of my expertise and skills are my own experiences having been incarcerated. I believe the criminal justice reform and improvements to the health of incarcerated people can only happen in true partnership with those who have themselves been incarcerated. I will use my extensive knowledge, expertise, and networks to ensure the execution of this grant is grounded in the lived experiences of those most vulnerable to infectious diseases and prone to vaccine hesitance—those inside prisons and jails. I will lead this grant from the perspective that collective leadership, advocacy for justice with reinvestment, and bold systems change are only possible when those who are most impacted are provided the opportunity and resources to embrance change. I recently participated on an expert panel hosted by the SEICHE Center for Health and Justice alongside MPI Puglisi and Omer, where we highlighted the necessity of proper vaccine prioritization and distribution in prisons and jails and I approached them about applying for this grant. I look forward to applying my expertise and personal experience to this grant, which is an extension of the mission of JustLeadershipUSA.

B. Positions

2018- JustLeadership USA, President/CEO
2016 U.S. Department of Justice, Senior Policy Advisor for Corrections and Reentry
2011 Hamilton County Board of Commisioners, Director of Reentry
2008 State of Indiana Governor's Office, Program Administrator
2007 State of Indiana Dept of Corrections, Unit Manager
2005 Cinti/Hamdeen Coounty Community Action Agency, Reentry Case Manager
2000 House of Hope, Program Administrator for Homeless

Honors

2020 Mural honoree, Artworks Cincinnati
2020 CECH Distinguished Alumni Award recipient, University of Cincinnati
2020 Black 100 List, City and State, New York
2020 Justice Out Loud award, Opportunity Agenda
2020 CCF 20th Anniversary Gala honoree, College and Community Fellowship
2019 Award recipient, Dress for Success Cincinnati
2019 Radical Generosity Dinner honoree, New York Women's Foundation
2019 New Executives Fund recipient, Open Society Foundations

C. Contributions to Science

A fundamental tenet behind my approach to improving the health of those who are incarcerated and their families and communities is that formerly and currently incarcerated must have a seat at the table in the science that is generated. The "evidence" around what works in correctional systems, rarely, if ever includes the perspectives, values, and expertise of those who have been incarcerated. And thus, many health interventions are never scaled or successfully disseminated. By placing incarcerated people at the fore of this science, I have seen the importance of understanding that prisons and jails are largely health-harming and that social determinants of health (housing, employment, legal support) and health care access are both criticial to reentry success.

Protecting the health of incarcerated people during COVID

During the COVID-19 pandemic, I applied my expertise as a member of the National Academies of Sciences committee that produced the consensus report "Decarcerating Correctional Facilities During COVID-19: Advancing Health, Equity, and Safety." Particularly, I offered expertise related to pandemic preparedness of prisons and jails as well as the necessity of proper reentry supports (housing, employment, health care) for those released as a result of decarceration based on the work that we conducted at JLUSA.

1. Town Hall on Decarceration During Coronavirus, JustLeadershipUSA and Cory Booker. May 1, 2020
2. Panel Presenter on Webinar, "COVID-19 Vaccine Distribution Inside Prisons and Jails", SEICHE Center for Health and Justice at Yale. Dec 2020.
3. **Hoskins D**, "With coronavirus running wild, it's the exact wrong time to pack more people in jails and prisons", *New York Daily News*. March 18, 2020
4. **Hoskins D**, "Incarcerated People Are Being Released Due to COVID-19. But Where Can They Go Next?" *Newsweek*. April 27, 2020.
5. Prashar A, **Hoskins D.** "Covid-19 vaccine distribution must prioritize prisoners. The virus is killing more of them." *NBC Think.* Dec 9, 2020.

Criminal justice reform must rely on robust social and health science

In order to be successful, criminal justice reform must rely on robst social and health science evidence that mass incarceration has been utterly unsuccessful in keeping communities safe and has widened racial disparities in health. I have been an ardent supporter and advocate of disseminating social science findings that are focused on the need for mass decarceration to create healthier communities and repair the harm.

1. Panel Presenter, "Where We've Been and Where We're Going", The Mayor's Office of Criminal Justice & The Center for Court Innovation, NY, NY.
2. **Hoskins, D.** "The right kind of bail reform: New York must learn from California's bad example", *New York Daily News*. March 4, 2019.
3. **Hoskins, D.** "Women Are Not Safe on Rikers Island", *Ms. Magazine*. Oct 10, 2018.

Access to services for incarcerated and previously incarcerated people is hindered by collateral consequences Currently and formerly incarcerated individuals are unable to meet their basic needs – including food, shelter, and employment and thus are subject to worse health outcomes. When I served on Obama's Federal Interagency Reentry Council, the council realized that many states misinterpreted federal policies that "banned" people with criminal records from obtaining public entitlements following release, including food stamps and section 8 housing. I have expertise in dispelling falsehoods about federal and local policies and will apply these education and advocacy efforts to the ADVANCE study to improve the health of incarcerated people.

1. **Hoskins, D.** "SNAP would deny those released from prison vital access to food", *The Hill*. Sept 15, 2018.
2. **Hoskins, D**. "End cash bail without hurting people", *Cincinnati Enquirer*. March 7, 2019.
3. **Hoskins, D.** "Freezing temps, contaminated water are inhumane; people in prison deserve better", *USA Today*. Feb 21, 2019.

ACKNOWLEDGMENTS

The SEICHE Center for Health and Justice, the Equity Research and Innovation Center, and the Center for Research Engagement at the Yale School of Medicine wish to gratefully acknowledge the contributions of the following individuals and organizations to this guide:

University of North Carolina at Chapel Hill
North Carolina Translational and Clinical Sciences (NC TraCS) Institute's Community and Stakeholder Engagement (CaSE) Program

Alan Richmond, MSW
Alana Rosenberg, MPH
Alycia Santilli, MSW
Alyssa Carboni, MPA
Brita Roy, MD, MPH, MHS
Chanetta Washington, MPH
Christina Yongue, MPH, MCHES
DeAnna Hoskins, BSW, MA
Elisa Quarles, BA
Elizabeth Millar, PHD
Emily Wang, MD, MAS
Jenerius Aminawung, MD, MPH
Karen Wang, MD, MHS
Kimberlee Hyman, MS
Lisa Puglisi, MD
Lori Carter-Edwards, PhD, MPH
Madeline Mitchell, MS
Marcella Nunez-Smith, MD, MHS
Margarett McBride, MA
Maureen Kane, MBA
Melissa Green, MPH
Melvin Dubose
Nadine Horton, AA
Natasha Ray, MS
Renee Lea-Currie
Sarah Ho, BA
Steve DiLella, MA
Tyisha Walker-Myers
Virginia Spell, BS
Zoe Enga, MPH

NOTES

made by margarett

Report designed by
Margarett McBride, M.A.
MargarettMcBride.com