**PennDesign**

**SPONSORED RESEARCH AND EXTERNAL CONSULTING Submission and Project Management GUIDELINES**

**Purpose**

The purpose of these guidelines is to support PennDesign faculty who want to apply for a grant, or desire to contract with a non-federally funded client as a consultant through PennPraxis. It is imperative to adhere to the guidelines to:

* Identify early in the proposal process all of the School’s resources (space, computing, financial) and personnel (faculty, students, and staff) that will be necessary to complete the project,
* Ensure the proposed budget includes the appropriate costs (i.e., employee benefit rate and overhead) and is sufficient to carry out the project,
* Comply with all federal and University policies, and
* Ensure the contractual obligations required by the sponsor/client are being fulfilled.

**Proposal Mechanisms**

**PennDesign faculty have two mechanisms for submitting proposals, either through the Office of Research Services (ORS), or through PennPraxis, using criteria established by the University.**

1. **Office of Research Services (ORS)**

**Sponsored research activity with a federally funded entity, or with a non-federally funded entity that requires reporting under the Office of Management and Budget (OMB) guidelines, must go through ORS. Kimba Johnson** [kdsmith@design.upenn.edu](mailto:kdsmith@design.upenn.edu) **is the overseer of this office.**

1. **PennPraxis (separate 501c3 under PennDesign)**

**Consulting activity with a non-federally funded entity that doesn’t require reporting under the OMB guidelines, or with an individual client, could go through PennPraxis. Randy Mason** [rfmason@design.upenn.edu](mailto:rfmason@design.upenn.edu) **is the Executive Director and Julie Donofrio** [donojt@design.upenn.edu](mailto:donojt@design.upenn.edu) **is the Managing Director of this office.**

**Proposal Submission Process**

The proposal submission process involves determination of the appropriate mechanism, preparation of the required documentation needed for submission, and the routing of the proposal for review and approval. Under no circumstance should a proposal be sent to a sponsor/client on behalf of the *Trustees of the University of Pennsylvania/PennPraxis* without the School’s review and approval.

1. Mechanism Determination

PennDesign faculty/PhD students who are interested in submitting a proposal should contact the School’s Financial Manager of Grants and Contracts **Kimba Johnson** [kdsmith@design.upenn.edu](mailto:kdsmith@design.upenn.edu) or 215-573-7286 to discuss the appropriate mechanism.  **The final determination of which mechanism to use will be determined at this stage.**

Please note, only standing, adjuncts and professors of practice are allowed to submit proposals. **ORS requires proposals submitted by lectures to have a standing faculty sponsor.** Adjuncts and professors of practice can submit proposals through PennPraxis **without** a standing faculty sponsor.

1. Minimum Proposal Documentation

At minimum, a proposal should have the following documentation in order for the proposal to be considered for review and approval by the School;

* Scope of Work – research/task objective(s)
* Scope of Services – precise services to be performed to accomplish the objective(s), expected outcomes/deliverables, and time frame
* Detailed Budget – direct and indirect/overhead costs, including travel and expenses
* Budget Justification
* A mandatory review of space and computing needs with the Director of Facilities and Director of Computing.
* Space needs may include, but not limited to: office space, storage, event space, furniture, telephones. To be confirmed by Karl Wellman, Director of Facilities [kwellman@design.upenn.edu](mailto:kwellman@design.upenn.edu)
* Computing needs may include, but not limited to: hardware, software, data storage and security, IT support. To be confirmed by Cathy DiBonaventura, Director of Computing [cathy@design.upenn.edu](mailto:cathy@design.upenn.edu)

Through the Mechanism Determination Process, the School will seek and advise on the maximum indirect cost rate allowed by the sponsor/client.

1. Review and Approval

The review and approval process differs for an ORS proposal from a PennPraxis proposal though the outcome is the same – to guarantee that the proposal will be properly supported by the School if it were to get funded.

* 1. **Office of Research Services**

ORS proposals must be routed electronically through Penn’s Electronic Research Administration (ERA) system <https://www.pennera.upenn.edu/> and reviewed and approved on-line by the faculty making the proposal, the faculty’s Chairman, PennDesign Finance, and the Dean’s Office **prior** to being routed to ORS for final review and approval.

**ORS** proposals should be submitted **10 business days** prior to the sponsor’s due date to allow proper time for routing and internal approval. Proposals submitted in less than 10 business days are not guaranteed to be submitted to the sponsor on time.

* 1. **PennPraxis**

**PennPraxis proposals are routed as email attachments for review and approval by the Executive Director and Managing Director of PennPraxis, PennDesign Finance, and the PennPraxis board.**

**Praxis** proposals should be submitted **5 business days** prior to the client’s due date to allow proper time for routing and Praxis Board approval. Proposals submitted in less than 5 business days are not guaranteed to be submitted to the client on time.

**Project Management**

**Once an executed contract is established between the University/Praxis and the sponsor/client, an account is created and maintained by the Manager of Grants and Contract to capture revenues and expense activity. It is the responsibility of the Principle Investigator (PI) or their designed Project Manager (PM) to;**

1. **Facilitate all hiring, procurement (goods and services) and reimbursement activities including, but not limited to;**
   1. **Initiate contact with individuals and vendors**
   2. **Obtain quotes and contracts (when appropriate)**
   3. **Collect the required documentation\* to successfully process the activity**
   4. **Authorize all activity by utilizing the action box** [pdgrants@design.upenn.edu](mailto:pdgrants@design.upenn.edu)
2. **Ensure all activities are allowable, reasonable, and properly documented.**
3. **Review monthly budget to actual reports for accuracy and available balances. Any budget overruns will be the responsibility of the PI and/or their home department.**

**At the outset of each project, the PI/PM and any hired resources will meet with members of the project support kick-off team including, but no limited to, the Praxis Managing Director (if applicable), Manager of Grants and Contract, and a representative from PennDesign Finance to explain the expectations of the internal management of the project.  It is important that the PI/PM and hired resources are cognizant of the appropriate protocols for accessing and dispersing funds, and best practices for keeping projects on schedule and on budget. Additionally, designated key contacts will be determined at the onset for different project needs.**

**Quick Guide to Accessing Funds**

**Through the lifespan of a project, costs will always be incurred. Below are common expenses and how to go about making these funds available.**

1. Airlines, conference fees, and hotels via the **Bank of America Card and/or** [](https://medley.isc-seo.upenn.edu/authentication/profile/concur?app=concurprod)
2. Hire research support;
   * Review Hiring Matrix [Hiring Matrix for Grants and Contracts](https://www.design.upenn.edu/payroll-and-human-resources#page-section-1913)
   * Complete offer template letter

<https://www.design.upenn.edu/payroll-and-human-resources#offer-letter-templates>

* + Letter is reviewed/approved by Payroll Coordinator [pdpay@design.upenn.edu](mailto:pdpay@design.upenn.edu)
  + PI or designated PM extends offer

1. Procurement of goods or services (i.e., consultants);
   * Obtain a quote, contract, or invoice
   * Collect the required **documentation\***
   * **Request purchase/payment via** [pdgrants@design.upenn.edu](mailto:pdgrants@design.upenn.edu) **– specify name of funding source!**
2. Reimbursements via a **Concur Expense Report** [](https://medley.isc-seo.upenn.edu/authentication/profile/concur?app=concurprod)

\*Documentation can be found <https://www.design.upenn.edu/fiscal-operations>

Hardware, software, and peripherals quotes must be obtained via Computing [cathy@design.upenn.edu](mailto:cathy@design.upenn.edu)

**All University policies and procedures will be adhered to when hiring, procuring, and reimbursing.**

**Key Contacts**

**Kimba Johnson**, Financial Mgr. of Grants and Contracts **Randall Mason,** Executive Director

Office of Grants & Contracts PennPraxis

416 Duhring Wing 102 Meyerson Hall

215-573-7286 215-898-3169

[kdsmith@design.upenn.edu](mailto:kdsmith@design.upenn.edu) [rfmason@design.upenn.ed**u**](mailto:rfmason@design.upenn.edu)

**Julie Donofrio,** Managing Director

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<http://www.design.upenn.edu/pennpraxis/>

**SPONSORED RESEARCH AND EXTERNAL CONSULTING**

**Proposal Mechanism Comparison**

|  |  |  |
| --- | --- | --- |
| **Key Factors** | **Office of Research Services** | **PennPraxis** |
| **Eligible Faculty** | **Standing & Associated w/ a Sponsor** | **Standing & Associated** |
| **Faculty Compensation** | **Standing Faculty Subject to 2/9th rule** | **Fair Market Hourly Rate** |
| **Employee**  **Benefit Rates** | **Full-Time = 32.2%**  **Part-time = 9.7%** | **Full-time = 9.7%**  **Part-time = 9.7%** |
| **Taxable Income** | **Normal Compensation –**  **Taxed at Same Level** | **Additional Compensation – Taxed at Higher %** |
| **Overhead Rate** | **Maximum Allowable by Sponsor** | **Minimum 18%** |
| **Insurance** | **University – Self Insured** | **Covered under University’s Policies** |
| **Proposal Routing** | **PennERA System (School/ORS)** | **Board** |
| **Technical Report to Sponsor/Client** | **Faculty** | **Faculty** |
| **Financial Report to Sponsor/Client** | **Office of Research Services** | **PennDesign Finance** |
| **Invoice to Sponsor/Client** | **Office of Research Services** | **PennDesign Finance** |
| **Coordinating**  **Financial Transactions** | **PI/Project Manager Designee** | **PI/Project Manager Designee** |

**Penn Praxis Collaborations**

**Government Agencies:**

City of Chester, PA Philadelphia Commerce/Economic Development

Philadelphia Industrial Development Corporation Philadelphia Office of Arts Culture and Creative Economy

Philadelphia Office of Sustainability Philadelphia Office of Transportation and Utilities

Philadelphia Parks and Recreation Philadelphia Planning Commission

Philadelphia Public Property Philadelphia Water Department

PA Dept of Conservation and Natural Resources PennDOT

**Non Profits and Community Organizations:**

Bartram’s Garden Central Delaware Advocacy Group

Community Design Collaborative Community Development Corporation, PA CDC

Development Corporation, PA CDC Delaware River Waterfront Corporation

Delaware Valley Regional Planning Commission Fairmount Park Conservancy

Logan Square Neighborhood Association Mural Arts

Natural Lands Trust Next Great City Coalition

Parkway Council Foundation Pennsylvania Environmental Council

Philadelphia Association of Public Art Philadelphia Museum of Art

Penn Project on Civic Engagement Pennsylvania Horticultural Society

University City District Pennsylvania Horticultural Society

Community Development Corporations People’s Emergency Ctr

Fairmount Community

New Kensington CDC