



**Karolinska  
Institutet**

*"NIH-funding has meant all the difference in the world to me. Not only was I able to obtain large scale funding on the order of magnitude that was not possible from Sweden (until recently), but this also meant a great deal of scientific credibility"*

*Nancy Pedersen, Professor at KI*



# US Research Funding at Karolinska Institutet

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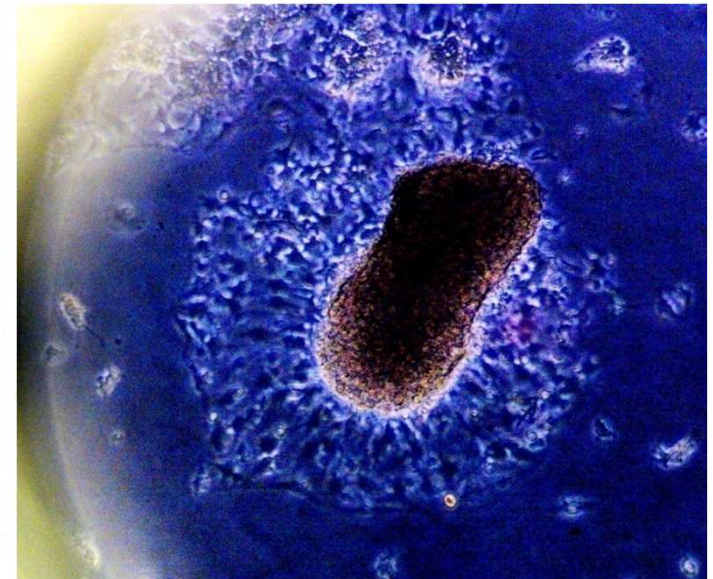
# Short overview of KI and KI's US research funding

# Karolinska Institutet – a Leading Medical University

45% of Sweden's academic medical research

Research spans the entire medical field, from basic experimental research to patient-oriented and nursing research

22 departments - 1600 Senior Researchers - 2165 active PdD students - 5885 undergraduate students



# 2015 Nobel Prize in Physiology or Medicine

was announced Monday 5 October 2015 at Karolinska Institutet  
(50 KI professors deciding who will get it)





## Research revenue

- Over 80 percent of KIs total revenue goes into research
- Total research revenue 2014: 6,156 SEK million = 657 million EUR

## KI Income from US sources

	Amount (million EUR)	
	Government agencies*	Private foundations
2009	4.79	2.35
2010	4.9	2.67
2011	2.31	2.36
2012	2.69	3.53
2013	1.49	5.67
2014	1.61	4.95
2015 (to date)	Approx 2.11	

\*incl. NIH, NSF, US military, AHRQ, universities





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*"Being a woman psychologist I have benefitted alot from my NIH support. It also opened up for other US funding from philanthropic organisations"*

*Christina Hultman, Professor at KI*

# The importance of US research funding to KI

## The importance of US research funding to KI

- Scientific credibility
- Opens up the door for other international support
- Easier for researchers with NIH funding to publish in high impact journals
- A number (more than one) NIH-grants is an outstanding quality marker
- Positive impact on KI's international profile
- Administrative credibility
- Has improved KI's compliance as a whole



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*“When I received my first NIH grant, it was a grate release from writing 5-6 grant applications every year to small national foundations, trying to get funds for running the lab. NIH grants allow me to concentrate on my research, to get new group members, and to start new research sub-projects”*

*Tatiana Deligiana, Professor at KI*

# Challenges with US federal funding

## Challenges with US federal grants

- Central signatures (not always followed)
- Indirect costs (co-financing, we demand an application assurance form that department needs to sign)
- Compliance (both pre- and post award):
  - Stricter or different regulations than our national ones (FCOI etc)
  - Time consuming administrative processes in order to comply for example, Open Source Policy)
- Read the fine lines in the award and regulations..... (i.e. Fly America Act)

## Challenges with US federal grants

- Exchange rates (much better with PMS though!) both when budgeting and spending
- Financial responsibility as a Prime-recipient (we demand project specific audit certificates from our sub-recipients)
- Different sub-recipient monitoring by different U.S institutions
- Animal care costs
- Audit requirements (finding an audit company who can carry out an A-133)



# The FOS-review

## FOS review

- The FOS-review (Foreign Organization System Review) is carried out by National Institutet of Allergy and Infectious Diseases (NIAID)
- KI has been subject to three FOS-reviews (2005, 2010, 2015)
- One questionnaire, 22 sections, over 150 questions.
- Available in different languages

<http://www.niaid.nih.gov/researchfunding/int/pages/fos.aspx>

## Content of the FOS

<b>A. GENERAL INFORMATION</b>	<b>L. BUDGETARY CONTROLS</b>
<b>B. APPLICATION AND PROPOSAL PREPARATION</b>	<b>M. ACCOUNTING SYSTEM</b>
<b>C. POLICIES AND PROCEDURES</b>	<b>N. INTERNAL CONTROLS AND AUDITS</b>
<b>D. AWARD MONITORING</b>	<b>O. PERSONNEL</b>
<b>E. FISCAL AND SCIENTIFIC OVERLAP</b>	<b>P. PAYROLL</b>
<b>F. FINANCIAL CONFLICT OF INTEREST</b>	<b>Q. PROCUREMENT</b>
<b>G. CONSORTIUM ARRANGEMENTS</b>	<b>R. PROPERTY MANAGEMENT</b>
<b>H. INDIRECT COSTS</b>	<b>S. TRAVEL</b>
<b>I. RECORD MANAGEMENT</b>	<b>T. CONSULTANTS</b>
<b>J. FINANCIAL BANKING ARRANGEMENTS</b>	<b>U. PUBLIC ACCESS</b>
<b>K. PAYMENT MANAGEMENT SYSTEMS (PMS)</b>	<b>V. NIAID/NIH GRANT CLOSEOUT</b>

# What have we learned from the FOS-reviews?

Lessons learned from the FOS reviews:

- Prepare, prepare prepare!
- Policy on Audit
- Budgetary controls
- It is possible to budget for training and salary of administrative staff
- Be visible and educate others!
- Great learning experience!

## General tips

- Develop more streamlined compliance system when possible
  - the stricter rule applies
- Use your audit reports/findings to push internal policies
- Budget smartly (rent)
- Read the award/the regulations/guidelines carefully (open skies, equipment, core facility/service center etc)
- Get your lawyers/auditors involved at an early stage

## General tips

- Learn the terminology
- Have specialists working with US funding on a central level
- Look beyond the federal funders, philanthropic funding available?
- Application assurance form
- Work on your sponsor contacts
- Take help from your American peers and collaborators to ask for help with interpretation of rules or templates etc. Meet with your American peers/make study visits
- Ask questions!

Obrigado!  
Thank you!  
Tack!