Research Administration & Lifecycle of a Sponsored Project

CALS Research Essentials

2015
CALS Research

- UA is Arizona’s Land-Grant University
  - Hatch Act of 1887: funding for Agricultural Experiment Stations
  - Smith-Lever Act of 1914: cooperative extension services funding
- CALS Sponsored Projects are far-reaching
  - Human health: food supply, nutrition, social issues
  - Animal health
  - Economics
  - Natural resources and sustainability
  - Local and worldwide impact
Who provides these funds?

- Federal, 44%
- State - Arizona, 29%
- Institution of Higher Education, 8%
- Private Non-Profit, 7%
- Private Profit, 4%
- Local Government - Arizona, 4%
- Other Government - Non-AZ, 1%
- Foundation, 3%
- Foreign Private Non-Profit, 0%
- Foreign Private Profit, 0%
- Foreign Institution of Higher Education, 0%
CALS Top 5 Sponsors FY2015

1. State of Arizona Agencies
2. US Department of Agriculture
3. US Geological Society
4. National Science Foundation
5. Gordon and Betty Moore Foundation
Why Do We Conduct Research?

• Push the frontiers of knowledge
• Improve humanity’s well-being
• Train the next generation
• Further Arizona’s economic development

Source: neversettle.arizona.edu
• ABOR 2020 goals
  
  R&D expenditures of $1.2 Billion by 2020 (almost double from 2008)

• How do we get there?
Key Strategies

- Promote our core strengths to address grand challenges
- Collaborate beyond disciplinary boundaries to increase local-to-global impact
- Improve institutional infrastructure to speed discovery, knowledge, and application
What is a Sponsored Project?

Sponsored Project
- External funding awarded by a Sponsor to an Institution for a defined statement of work and budget.

PI = Principal Investigator
- The PI (usually a faculty member) is ultimately responsible for the design, execution and management of the funded project for the institution.
Activity to support faculty engaged in research meant to protect both the researcher and the institution

- UA Research Administration
  - Researchers (individual faculty)
  - Departments
  - Colleges
  - Central
  - ALL OF US!
How do you find funding?

a. Word of mouth
b. Friends in high places
c. Get lucky
d. www magic
Finding Funding Opportunities

- Online Resources (free and subscription)
  - Grants.gov federal opportunities
  - Agency websites (USDA, NSF, NIH, NASA...)
  - Non-profit websites
  - Working with the UA Foundation

- Research Development Services (RDS) can help!
  - PIVOT
  - September 4, 2015 presentation (PIVOT & RFPs)
Finding Funding Opportunities

- Research Development Services (RDS)
  - Collect and disseminate funding opportunity information
- Weekly FOA newsletter (Funding Opportunity Announcements)
- Limited Solicitations announcements & page on the RGW (Research Gateway rgw.arizona.edu)
- UA Experts website – identify potential collaborators
Selecting an Opportunity – Stakeholder Concerns

- Consider this...
  - Performance impacts future opportunity!
  - Protect investigators and the University

- Stakeholders
  - Sponsor
  - Researchers (individual faculty)
  - Departments
  - Colleges
  - Central
Selecting an Opportunity – Stakeholder Concerns

• **Sponsor**
  - Research objectives can be met?
  - Application requirements are satisfied?
  - Institution is eligible?
  - PI is qualified and current in the field?
  - Budget is feasible?

• **Investigators**
  - Eligibility and expertise (UA & individual)
  - Proposed work fits opportunity?
  - Budget and cost sharing requirement/limits
  - Sufficient effort available for project?
  - Deadlines - time for a quality proposal?
Selecting an Opportunity – Stakeholder Concerns

• Departments/Colleges
  • Project supports the mission of UA?
  • PI resource needs (space, equipment, personnel)?
  • Budget is adequate?
  • Is cost sharing proposed?
  • Are indirect costs (F&A) recovered?

• Central Administration
  • Is this a Limited Submission proposal?
  • Internal routing requirements
  • UA can comply with terms & conditions?
  • Cost share, Conflict of Interest, Export Ctrl?
  • F&A limits
• An opportunity is selected and it’s time to go for it!
Proposal Components

- Application or title page (paper or electronic)
- Narrative scope of work
- Budget and budget justification
  - Subawards
  - Cost Sharing, financial commitments
    (identify sources, get commitments in writing!)
- Researcher credentials/qualifications
  - Biosketches, publications
  - Current & Pending Support
- Compliance documents
- Letters of Support (⚠️ contact RDS early!)
Proposal Preparation Timing

• Start **ASAP** on
  • large, complex, collaborative proposals
  • Limited Solicitation process (RDS can help)
  ⚠️ Allow time for two-stage review!

• ≥30-90 Days – PI developing proposal
  • Read and understand the solicitation
  • Get dept/college involved (⚠️ discuss splits!)

• 10-30 Days – Route in UAccess Research
  • Monitor approval progress – keep it moving
  • Allow time for special approvals (F&A, COI…)

• 3 Business Days before sponsor deadline
  • Fully routed/approved
  • Ready for SPS submission
Proposal Preparation Resources

• PI/Department/College
  • Ground-level building of the proposal

• Research Development Services (RDS)
  • Large/complex/collaborative proposal development assistance
  • Letters of Support
  • Training – successful grant writing
Proposal Preparation Resources

• Sponsored Projects Services (SPS)
  • Advice and assistance for faculty and staff
    • Interpretation of sponsor guidelines
    • Application/forms help
  • Budget review and approval
    Budgeting presentation September 25, 2015
  • Institutional Review and Approval
    • Physical signature or electronic submission

• Contract & Research Support Program (CRSP)
  • Some terms up-front require a legally binding signature
Institutional Review

• Before submission (UAccess Research)
  UAccess Research presentation October 30, 2015

• SPS PreAward Reviewers:
  ✓ DO check the budget
  ✓ DO review forms for completeness/accuracy
  ✓ DO review the abstract (for rates, compliance issues)

• DON’T verify salaries, departmental policy or other science narrative documents
• DON’T check formatting, page limits or other solicitation requirements
Institutional Approval

- UAccess Research (online routing)
  - Approvals of lead department pre-review, investigators, department heads, colleges...
  - SPS final signoff

- Submit to Sponsor
  - e-submission
  - SPS/CRSP signatures
  - Mail/email to sponsor (department/PI)
Successful Submissions

• Are the result of:
  • Following instructions 😊
  • Complying with UA routing requirements
  • Demonstrating in the proposal that:
    • PI/team is qualified to perform the promised work
    • PI is current in the field (literature, developments...)
    • The proposed Scope of Work (SOW) is what the sponsor wants
    • The SOW scale fits requested time/resources
Hurry Up and Wait?

- It can take 3-6 months to write an effective application
- Project start can be 9-12 months from submission
- Award negotiation isn’t instant!

Meanwhile, plan for success...
- Respond to sponsor post-submission requests
- Respond to peer review
- Compliance approval may be required prior to spending
- Plan for account hierarchies
The Lifecycle of a Sponsored Project

- Where are your pain points?
  - How do you deal with them?
  - Are you aware of assistance resources?

- What additional tools might help?
Award Negotiation & Acceptance

• How are awards received?
  • Direct from sponsor to SPS or CRSP
  • Sponsor online system
  • Via PI or UA Department

• Award Mechanisms
  • Grants, fellowships
  • Contracts, cooperative agreements, clinical trial agreements

Contracting presentation October 23, 2015
Award Acceptance Roles

- Sponsored Projects Services and Contract & Research Support Program
  - Award intake happens in both SPS/CRSP
  - Initial review
    - Unilateral grants - SPS
    - Bilateral awards - CRSP
  - Ensure proposal was routed (both)
  - PI/Department routing – avoid delays!
  - Complete award review and negotiation (CRSP)
  - Only authorized delegates (CRSP) can sign!
  - Record final award and account setup (SPS)
When Can Project Spending Start?

- **Federal Grants**
  - Usually standard, simple and quick
  - ! Warning: Update COI to avoid delay

- **Contracts, Federal or Industry**
  - More complex and can take weeks or months of back and forth to execute
  - All the stakeholders must work together to finalize (Sponsor, CRSP, SPS, PI, Department/College, Export Control, Tech Transfer)
• Review award terms
  T&Cs presentation October 23, 2015
• Account setup
  PostAward Overview presentation November 6, 2015
  • Award/account hierarchies
• Budget Monitoring
• Expenditure Allowability
• Compliance Activity
  Compliance presentations November 13 & 20, 2015
• Changes to the project/award
Award Management Roles

- PI/Department/College
  - Procurement
  - Budget and expense monitoring
  - Non-financial compliance
  - Progress Reporting
  - Closeout

- Sponsored Projects Services (SPS)
  - Account setup and budget loads
  - Sponsor regulations and award terms assistance
  - Expenditure allowability and sponsor approval
  - Invoicing, Financial Reporting and Closeout
  - Outgoing Subawards

- Research Compliance Services (RCS)
  - Activity reviews and monitoring
Award Closeout

- Manage projects with the end in mind
- Final report preparation and submission
- Financial closeout preparation
- Compliance activity completion
- Closeout periods may vary
  - 90 days for many federal sponsors
  - Other agreements may include shorter or longer closeout periods
Award Closeout Roles

- **PI**
  - Deliverables met
  - Verify effort
  - Final technical report
  - Signoff on final financial and patent reports

- **PI/Department/College**
  - Post allowable expenses, liquidate encumbrances, subrecipient payments...
  - Ensure cost sharing commitments are met
  - Remove deficits and unallowable expenses
  - Verify effort
Award Closeout Roles

- Sponsored Projects Services (SPS)
  - Coordinate closeout docs and other sponsor requirements
  - Prepare/submit final invoice and reports (financial and patent)
  - Final cash draw (federal awards)
  - Financial budget adjustment and financial account closeout
- Then off to the archives before the real end...
Research Administration: In Simple Terms

- Award Close-out
- Finding Funding
- Award Management
- Proposal Development
- Project Start-up
Research Administration: In Reality

Award Close-out
- Reporting Requirements
- Compliance Items Financial

Award Management
- Compliance Items Contract Negotiation Financials

Project Start-up
- The cycle continues

Finding Funding
- Electronic Submission
- Compliance Items

Proposal Development
- Compliance Items
- Proposal Revisions
Research Administration: In Reality

Final reporting
- Award Close-out
  - Reporting Requirements
    - Compliance Items Financial
- Award Management
  - Reporting Requirements
  - Compliance Items Contract Negotiation Financials

Ongoing activity
- The cycle continues
- Finding Funding
  - Electronic Submission
    - Compliance Items
- Proposal Development
  - Compliance Items Proposal Revisions

Financial, progress, other reporting
Sub-awards
Compliance Continuations

Account setup
Sub-awards
Compliance changes

- More proposal submission
- Changes to compliance

And so the big wheel keeps on turning!
CAPACITY / FORMULA GRANTS
National Institute of Food & Agriculture

http://nifa.usda.gov/program/capacity-grants

Sangita Pawar
September 11, 2015
Basics

• Federal Funds allocated to all Land Grant Colleges
• UA approximately gets $2.5M per year
• Categories:
  • Animal Health Research and Disease Program
  • McIntire-Stennis Capacity Grant
  • The Hatch Act of 1887
  • The Hatch Act of 1887 (Multistate Research Fund)
Animal Health Research and Disease Program

• The purpose of this funding is to promote animal health research at accredited state veterinary schools or colleges or agricultural experiment stations.
McIntire-Stennis Capacity Grant

- State forestry research at state forestry schools and colleges
- Developing a trained pool of forest scientists to research:
  1. **Reforestation** and **land management** for the production of crops of timber and other related products of the forest
  2. **Forest** and related **watershed** lands **management** to improve conditions of water flow and to protect resources against floods and erosion
  3. Forest and related **rangeland management** for production of **forage** for domestic livestock and game and improvement of food and habitat for wildlife
  4. Management of forest lands for **outdoor recreation**
  5. **Protection** of forest land and resources against fire, insects, diseases, or other destructive agents
  6. **Utilization** of wood and other forest products
  7. Development of sound **policies** for the management of forest lands and the harvesting and marketing of forest products
The Hatch Act of 1887

- Hatch activities are broad and includes research on all aspects of agriculture
  1. Soil and water conservation and use
  2. Plant and animal production, protection, and health
  3. Processing, distribution, safety, marketing, and utilization of food and agricultural products
  4. Forestry, including range management and range products
  5. Multiple use of forest rangelands, and urban forestry
  6. Aquaculture
  7. Home economics and family life
  8. Human nutrition
  9. Rural and community development
  10. Sustainable agriculture
  11. Molecular biology and biotechnology
  12. Research may be conducted on problems of local, state, regional, or national concern.
The Hatch Act of 1887 (Multistate Research Fund)

- Cooperative research employing multidisciplinary approaches in which a State agricultural experiment station, working with another State agricultural experiment station, the Agricultural Research Service, or a college or university, cooperates to solve problems that concern more than one State.
UA CALS Perspective

• Currently used to supplement Faculty Salaries
• Submit single or multi-investigator projects
• 5 year projects with annual and a final report
• REEport: http://nifa.usda.gov/tool/reeport
• CALS contact:

Alma Enciso
enciso@ag.arizona.edu
520-621-3859