Research Administration & Lifecycle of a Sponsored Project

Research Essentials

2016
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
Engaging | **Innovating** | Partnering | Synergy

- **ABOR 2020 goals**
  
  R&D expenditures of $1.2 Billion by 2020 (almost double from 2008)

- How do we get there?

**NEVER SETTLE**
NEVER SETTLE

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
Top 5 Sponsored Funding Sources FY2016

1. Federal (National Science Foundation)
2. Private Non-Profit
3. Private Profit
4. State - Arizona
5. Institutions of Higher Education
What is a Sponsored Project?

Sponsor

Institution

Sponsored Project
- Sponsor $ to Institution

PI = Principal Investigator
- Design,
- Execution
- Management

for the institution
Research Administration - Who is involved?

Support to protect both the researcher and the institution

- UA Research Administration
  - Researchers
  - Departments
  - Colleges
  - Central
The Lifecycle of a Sponsored Project

- 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
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 – 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)
  ![Warning] 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
  • Budget review and approval
  • 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)

• 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)
  - Stakeholder approvals
  - 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
    - PI is current
    - Scope of Work (SOW) satisfies sponsor wants
    - The SOW scale fits
Hurry Up and Wait?

• 3-6 months proposal development
• 9-12 months before project start
• Award negotiation isn’t instant!

Meanwhile, plan for success...
• Sponsor requests (just in time)
• Respond to peer review
• Compliance before spending
• 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?
• 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
Award Acceptance Roles

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

- **Federal Grants**
  - Usually standard, simple, quick
  - Update COI to avoid delay

- **Contracts** (Federal or Industry)
  - Complexity = time
  - All stakeholders work together
• Review award terms
• Account setup
  • Award/account hierarchies
• Budget Monitoring
• Expenditure Allowability
• Compliance Activity
• 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
• 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
  • Final invoice and reports (financial, 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

Finding Funding
- Electronic Submission Compliance Items

Proposal Development
- Compliance Items Proposal Revisions

The cycle continues
Research Administration:
In Reality

Final reporting
- Award Close-out
  - Reporting Requirements
  - Compliance Items Financial
- Award Management
  - Compliance Items Contract Negotiation Financials
- Project Start-up
  - Compliance Items Proposal Revisions

Ongoing activity
- Finding Funding
  - The cycle continues
  - Electronic Submission Compliance Items
- Proposal Development
  - Grants.gov submission
    - IRB / IACUC / COI filing
  - More proposal submission
    - Changes to compliance

Financial, progress, other reporting
Sub-awards
Compliance
Continuations

Account setup
Sub-awards
Compliance changes
Thank you!

Susan Mundt
Assistant Director (PreAward)

Sponsored Projects Service
626-6000
sponsor@email.Arizona.edu
Notes:

- **Horizontal bars** indicate all prior approvals are required before moving forward to the next approver in the route path.

**Ad Hoc Routing** for acknowledgment or FYI does not interrupt default routing. Ad hoc approvals must be satisfied before routing continues.
<table>
<thead>
<tr>
<th>Proposal Preparation Resources</th>
<th>Getting Started – Basic information defining a sponsored project and Principal Investigator, PI eligibility and college links for proposal preparation support. <a href="http://rgw.arizona.edu/administration/getting-started">http://rgw.arizona.edu/administration/getting-started</a></th>
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<td>F&amp;A Cost Bases – How to calculate F&amp;A and Modified Total Direct Cost (MTDC) exclusions. <a href="http://rgw.arizona.edu/administration/build-budget/budget-guidance/cost-bases">http://rgw.arizona.edu/administration/build-budget/budget-guidance/cost-bases</a></td>
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<td>F&amp;A Waivers and Stipulation Information – Direction regarding use of Facilities &amp; Administrative (F&amp;A) rates other than federally negotiated rates. <a href="http://rgw.arizona.edu/administration/build-budget/F-A-Costs">http://rgw.arizona.edu/administration/build-budget/F-A-Costs</a></td>
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<td>UAccess Research (UAR) Page – Helpful topics specific to the UAR system like connecting off-campus, UAR privileges, training videos on demand and email lists. UAccess Research information: <a href="http://rgw.arizona.edu/administration/UAccess-Research">http://rgw.arizona.edu/administration/UAccess-Research</a> UAR Training videos: <a href="http://rgw.arizona.edu/research-resources/training/uaccess-research">http://rgw.arizona.edu/research-resources/training/uaccess-research</a> UAccess Provisioning: <a href="http://uits.arizona.edu/Access-Provisioning-Documentation">http://uits.arizona.edu/Access-Provisioning-Documentation</a></td>
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<td>Cost Sharing and Matching – Guidance about project costs not funded by a sponsor. <a href="http://rgw.arizona.edu/administration/proposal-preparation/cost-sharing-and-matching">http://rgw.arizona.edu/administration/proposal-preparation/cost-sharing-and-matching</a></td>
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<td>Modular Budgets – Explanation of NIH Modular Budgets and their special requirements. <a href="http://rgw.arizona.edu/administration/build-budget/budget-guidance/modular-budgets">http://rgw.arizona.edu/administration/build-budget/budget-guidance/modular-budgets</a></td>
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<td>Forms, Documents &amp; Templates</td>
<td>Budget Templates — Generic UA budget worksheets and sponsor-specific form links. <a href="http://rgw.arizona.edu/administration/build-budget/budget-templates">http://rgw.arizona.edu/administration/build-budget/budget-templates</a></td>
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<td>New Sponsor Request Form – If you cannot find a sponsor in UAR, use the &quot;Misc&quot; sponsor to save your proposal and email a completed request form to Sponsored Projects Services (SPS). You will be notified when the new sponsor is available for your use. <a href="http://rgw.arizona.edu/sites/researchgateway/files/new_sponsor_request_2016-06.06.pdf">http://rgw.arizona.edu/sites/researchgateway/files/new_sponsor_request_2016-06.06.pdf</a></td>
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<td>Institutional Information – Names, addresses, rates and institutional identifiers commonly used in proposal application forms. <a href="http://rgw.arizona.edu/administration/institutional-information">http://rgw.arizona.edu/administration/institutional-information</a></td>
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<td>Setting up UA VPN and NetID+ – Virtual Private Network (VPN) and UA NetID+ two-factor authentication provide a secure connection to UAccess Research from computers outside the UA network. [<a href="http://security.arizona.edu/netid-plus">http://security.arizona.edu/netid-plus</a>, <a href="http://security.arizona.edu/ua-vpn-client">http://security.arizona.edu/ua-vpn-client</a>](<a href="http://security.arizona.edu/netid-plus">http://security.arizona.edu/netid-plus</a>, <a href="http://security.arizona.edu/ua-vpn-client">http://security.arizona.edu/ua-vpn-client</a>)</td>
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<td>UA Core Facilities – Office for Research &amp; Discovery shared research facilities links. <a href="http://rgw.arizona.edu/resources/core-facilities">http://rgw.arizona.edu/resources/core-facilities</a></td>
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