

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

**NEVER
SETTLE**



ENGAGING



INNOVATING



PARTNERING



SYNERGY

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
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What is a Sponsored Project?

Sponsor



Institution



Sponsored Project

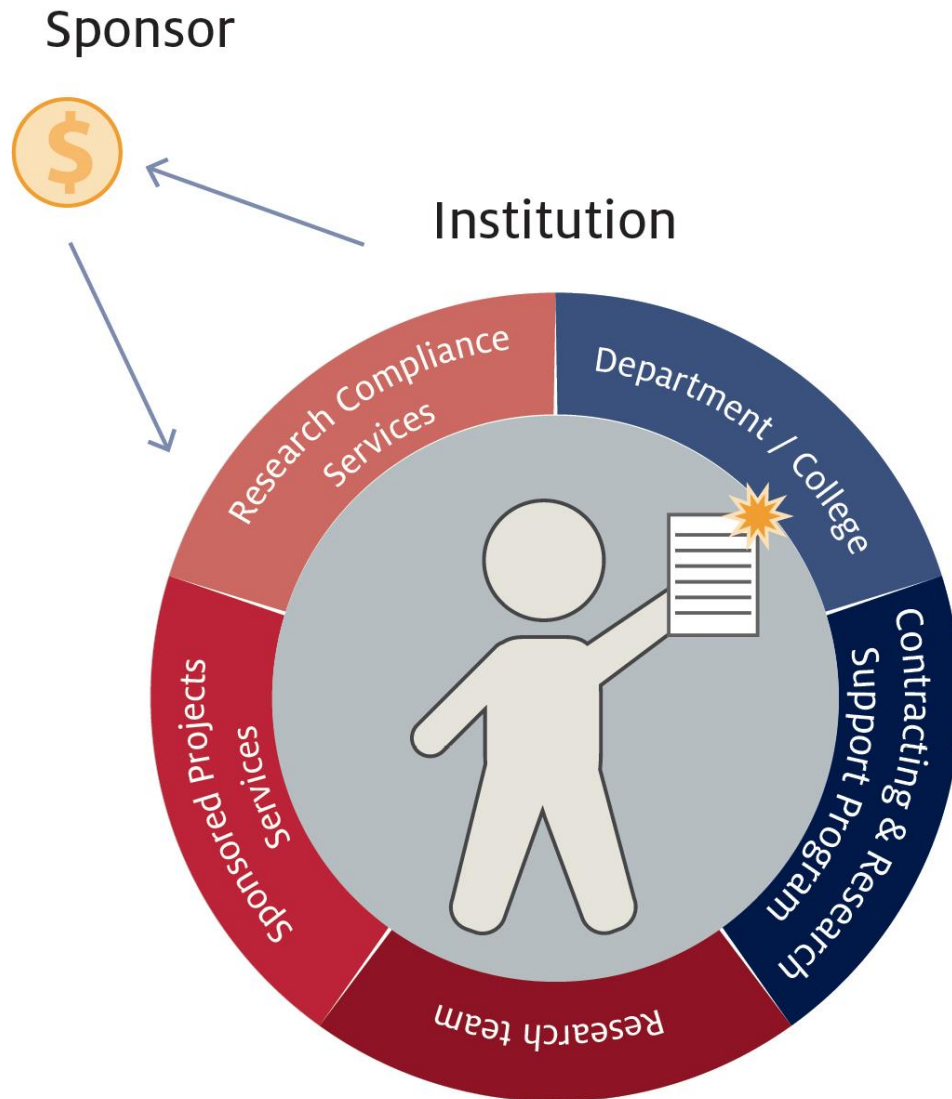
- Sponsor \$ to Institution

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

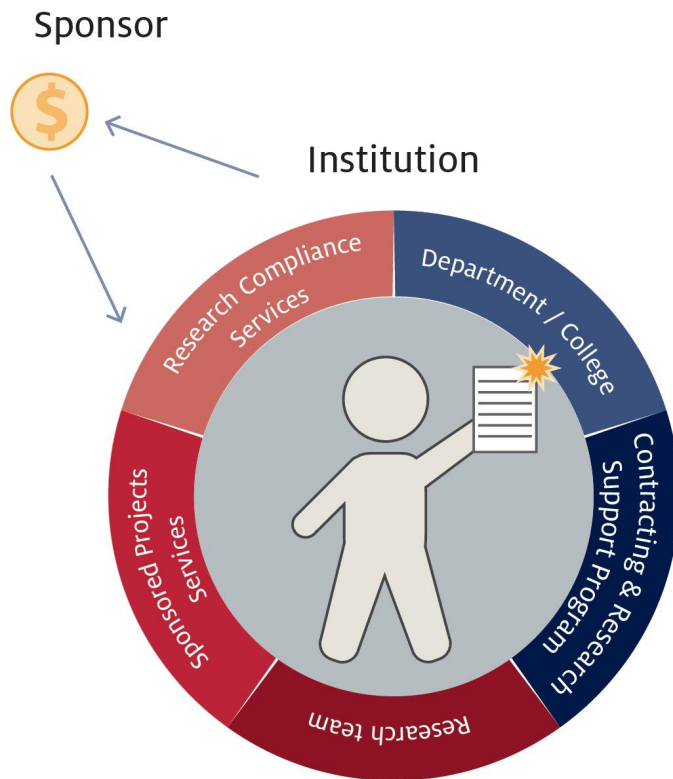
Finding Funding Opportunities

- 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
- 

Proposal Preparation & Submission



- 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

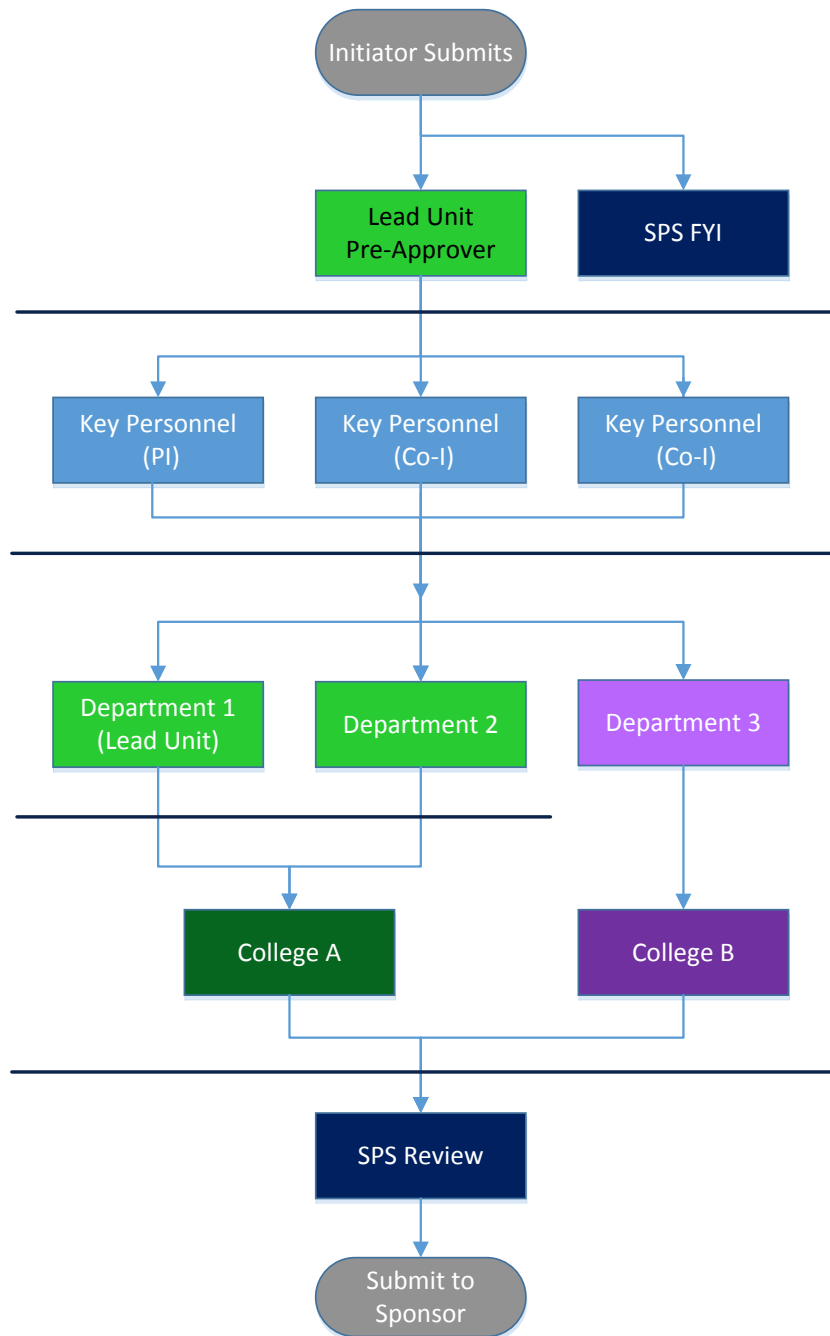
- Sponsored Projects Services (SPS)
 - Advice and assistance for faculty and staff
 - Budget review and approval
 - Institutional Review and Approval
 - Physical signature or electronic submission
- Contract & Research Support Program (CRSP)
 - Some terms up-front require a legally binding signature



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



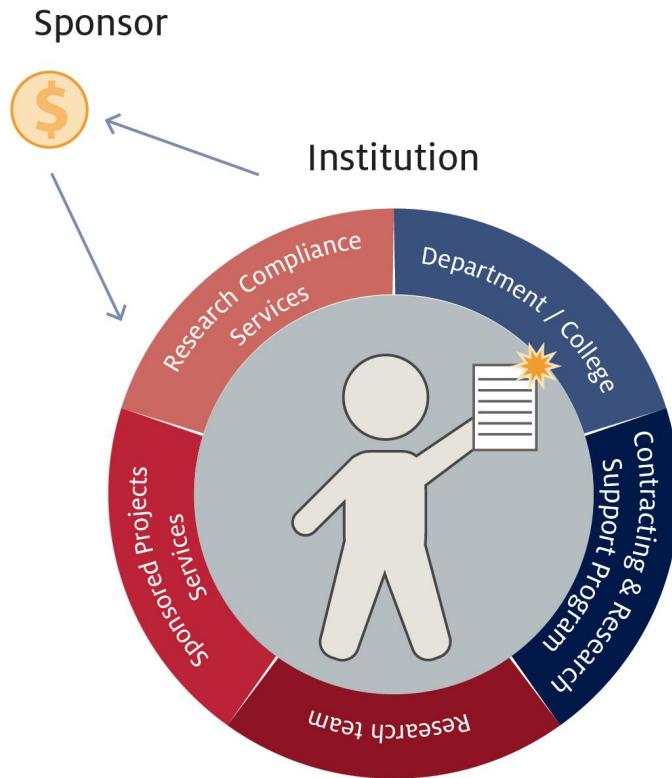
- Are the result of:
 - Following instructions 😊
 - Complying with UA routing requirements
 - Demonstrating in the proposal that:
 - PI/team is qualified
 - PI is current
 - Scope of Work (SOW) satisfies sponsor wants
 - The SOW scale fits

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?

Award Negotiation & Acceptance

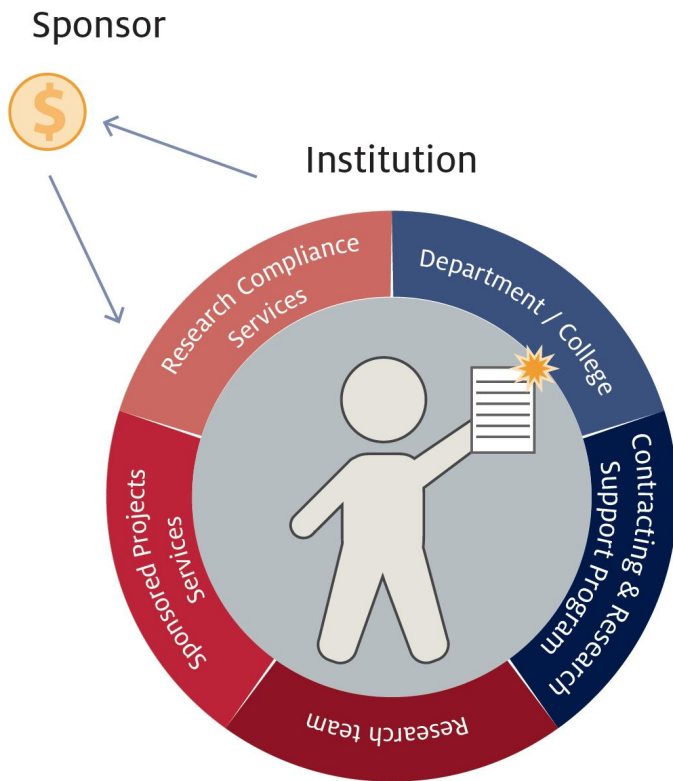


- How are awards received?
 - Direct from sponsor to SPS or CRSP
 - Sponsor online system
 - Via PI or UA Department
- Award Mechanisms
 - Grants, fellowships
 - Contracts, cooperative agreements, clinical trial agreements

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

Award Management



- 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
- 

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

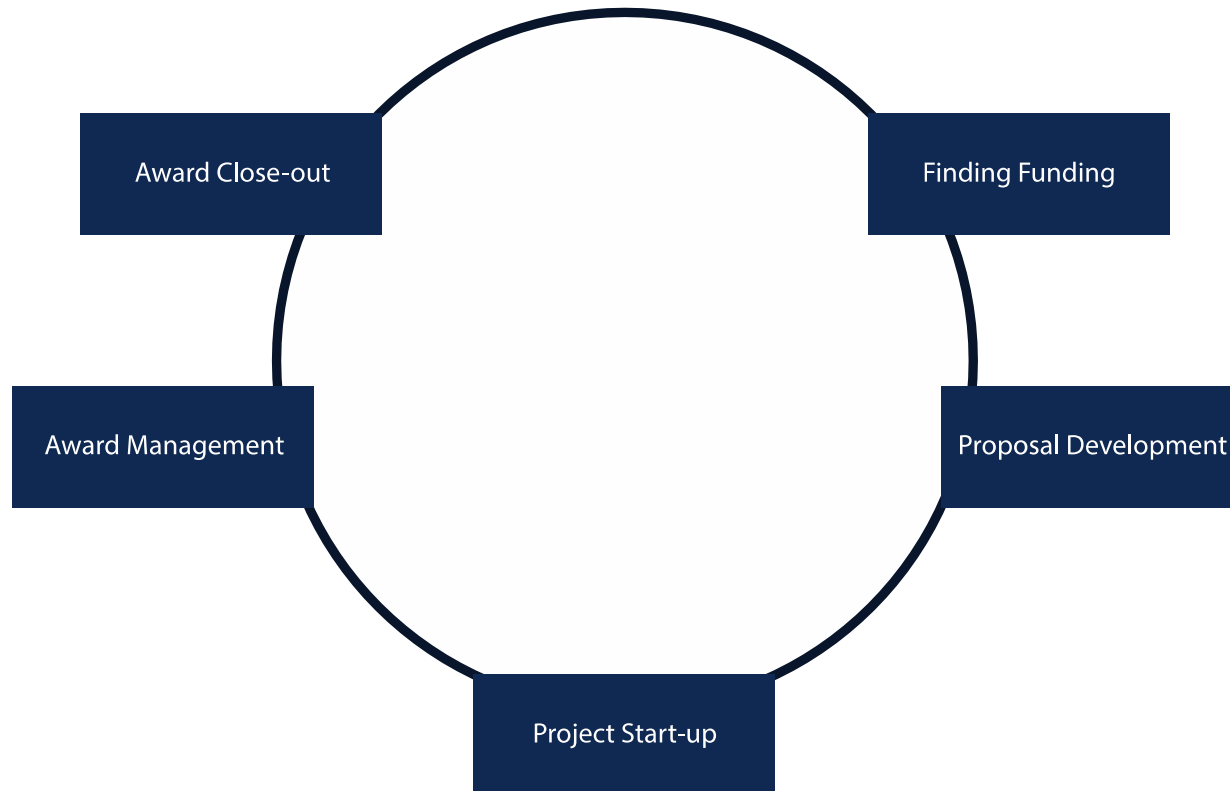
- PI
 - Deliverables met
 - Verify effort
 - Final technical report
 - Signoff on final financial and patent reports
 - PI/Department/College
 - Post allowable expenses, liquidate encumbrances, subrecipient payments...
 - Ensure cost sharing commitments are met
 - Remove deficits and unallowable expenses
 - Verify effort
- 

Award Closeout Roles

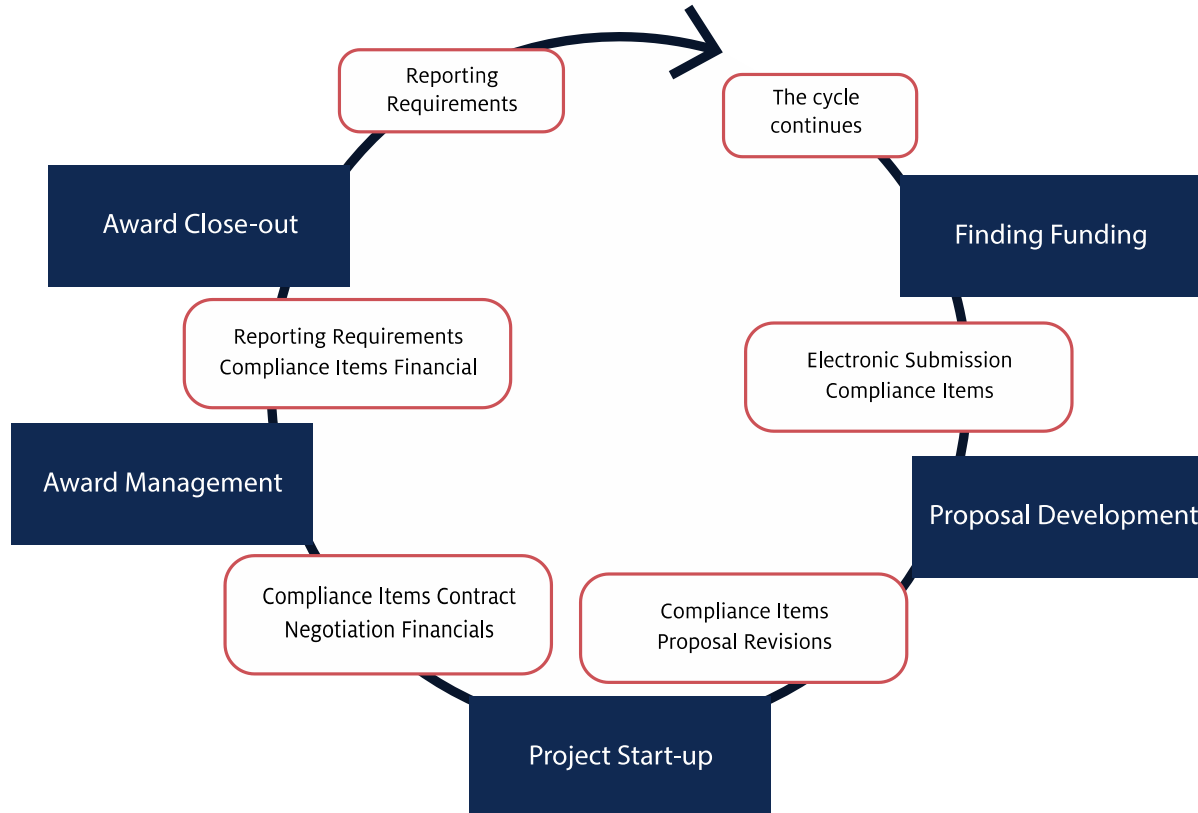
- Sponsored Projects Services (SPS)
 - Coordinate closeout docs and other sponsor requirements
 - Final invoice and reports (financial, patent)
 - Final cash draw (federal awards)
 - Financial budget adjustment and financial account closeout
- Then off to the archives before the real end...



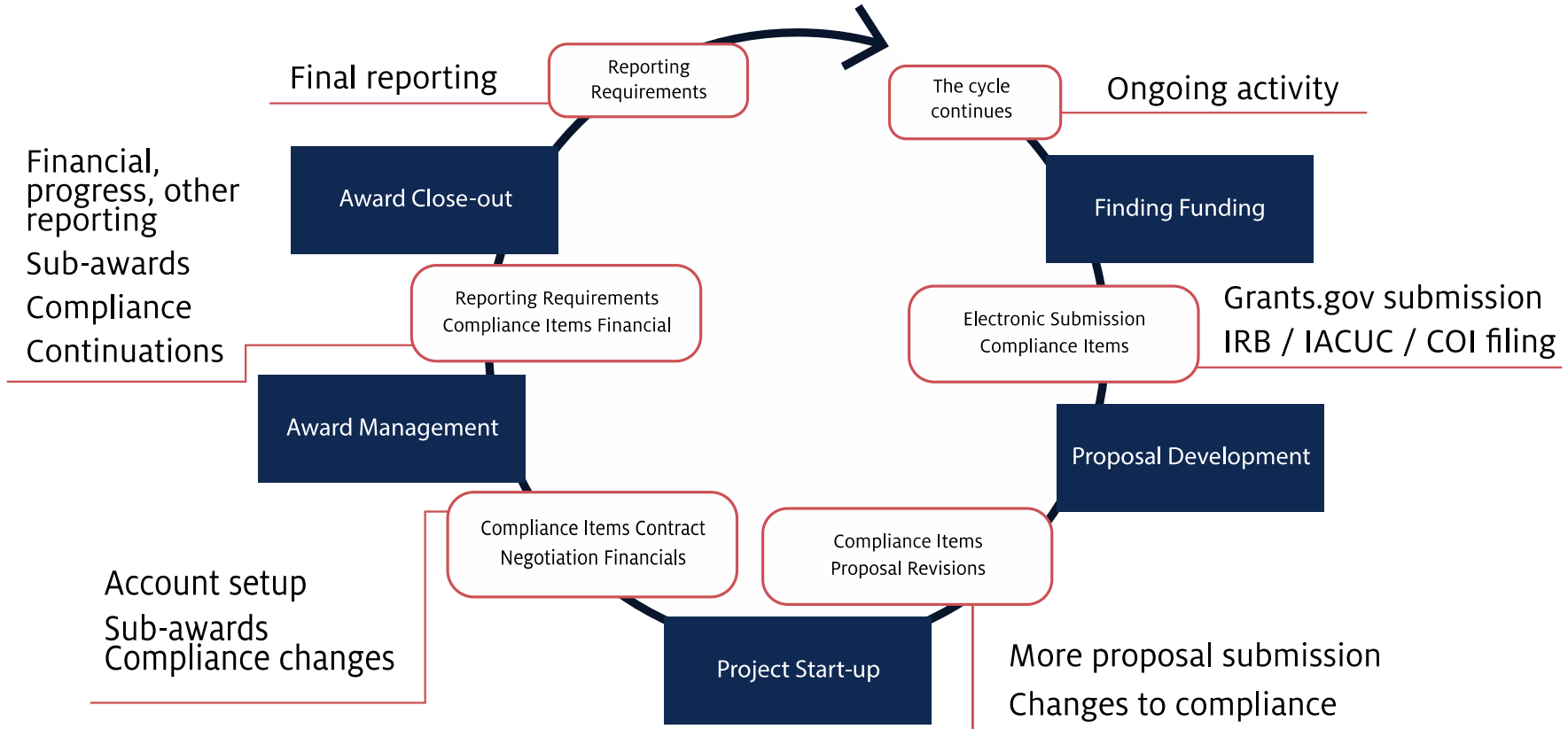
Research Administration: In Simple Terms



Research Administration: In Reality



Research Administration: In Reality



Thank you!

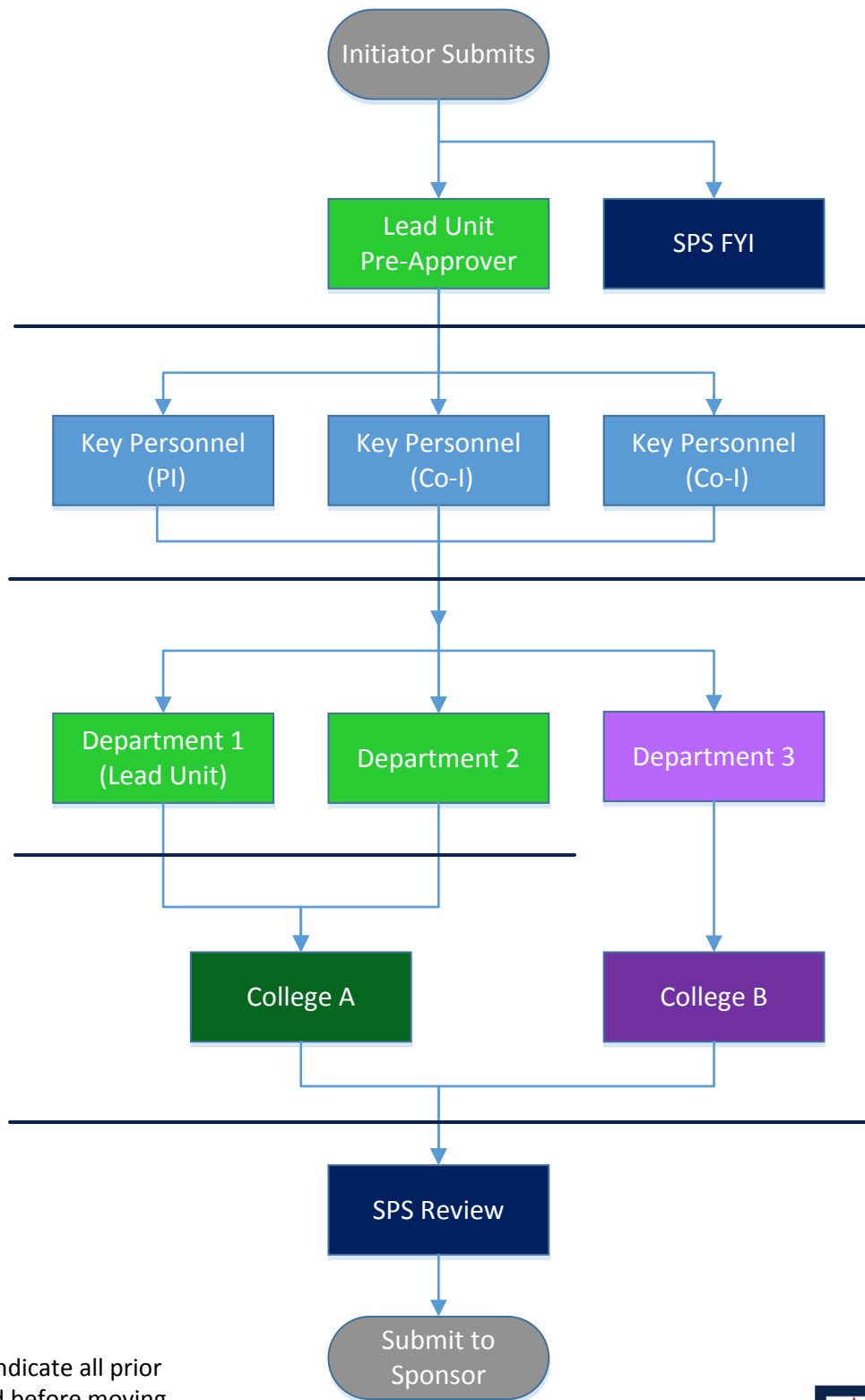
Susan Mundt
Assistant Director (PreAward)

Sponsored Projects Service
626-6000

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UAccess Research Proposal Routing Flowchart



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.

Research Gateway Resources for Proposal Preparation

Proposal Preparation Resources	<p>Getting Started – Basic information defining a sponsored project and Principal Investigator, PI eligibility and college links for proposal preparation support. http://rgw.arizona.edu/administration/getting-started</p> <p>F&A Cost Bases – How to calculate F&A and Modified Total Direct Cost (MTDC) exclusions. http://rgw.arizona.edu/administration/build-budget/budget-guidance/cost-bases</p> <p>F&A Waivers and Stipulation Information – Direction regarding use of Facilities & Administrative (F&A) rates other than federally negotiated rates. http://rgw.arizona.edu/administration/build-budget/F-A-Costs</p> <p>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: http://rgw.arizona.edu/administration/UAccess-Research UAR Training videos: http://rgw.arizona.edu/research-resources/training/uaccess-research UAccess Provisioning: http://uits.arizona.edu/Access-Provisioning-Documentation</p> <p>Cost Sharing and Matching – Guidance about project costs not funded by a sponsor. http://rgw.arizona.edu/administration/proposal-preparation/cost-sharing-and-matching</p> <p>Modular Budgets – Explanation of NIH Modular Budgets and their special requirements. http://rgw.arizona.edu/administration/build-budget/budget-guidance/modular-budgets</p>
Forms, Documents & Templates	<p>Budget Templates — Generic UA budget worksheets and sponsor-specific form links. http://rgw.arizona.edu/administration/build-budget/budget-templates</p> <p>New Sponsor Request Form – If you cannot find a sponsor in UAR, use the "Misc" 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. http://rgw.arizona.edu/sites/researchgateway/files/new_sponsor_request_2016-06.06.pdf</p> <p>Institutional Information – Names, addresses, rates and institutional identifiers commonly used in proposal application forms. http://rgw.arizona.edu/administration/institutional-information</p> <p>UA Tax Letter – Commonly requested documentation of UA IRS tax-exempt status. http://rgw.arizona.edu/sites/researchgateway/files/letter_to_donors_and_sponsors_2016.pdf</p>
Miscellaneous Information	<p>Sponsor Electronic Systems – Descriptions of common sponsor e-systems with links. http://rgw.arizona.edu/administration/proposal-submission/sponsor-electronic-systems</p> <p>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. http://security.arizona.edu/netid-plus, http://security.arizona.edu/ua-vpn-client</p> <p>UA Core Facilities – Office for Research & Discovery shared research facilities links. http://rgw.arizona.edu/resources/core-facilities</p>