



INTRODUCTION TO RESEARCH ADMINISTRATION

*Office of Grants and Contracts Administration
August 2015*



THE RESEARCH VESSEL "SIKULIAQ"
FUNDED BY THE NATIONAL SCIENCE FOUNDATION



Objectives

- To understand the UAF enterprise
- To summarize current issues within research administration
- To define some common research administration vocabulary
- To describe the role of a research administrator
- To familiarize attendees with the offices responsible for support and oversight of sponsored projects



What is the UAF Enterprise?

- FY2014 = \$123.9M in research revenue
 - Top 5 units on campus:
 - Geophysical Institute \$37.3M
 - Institute of Arctic Biology \$18.5M
 - School of Fisheries & Ocean Sciences \$16.5M
 - Institute of Northern Engineering \$14.0M
 - International Arctic Research Center \$13.6M
 - 906 proposals submitted
 - 392 new awards received

In 2013, UAF was ranked 116th in the nation for research revenues (similar levels: Georgetown, Notre Dame, Tulane, Tufts, Clemson)



What is Research Administration?

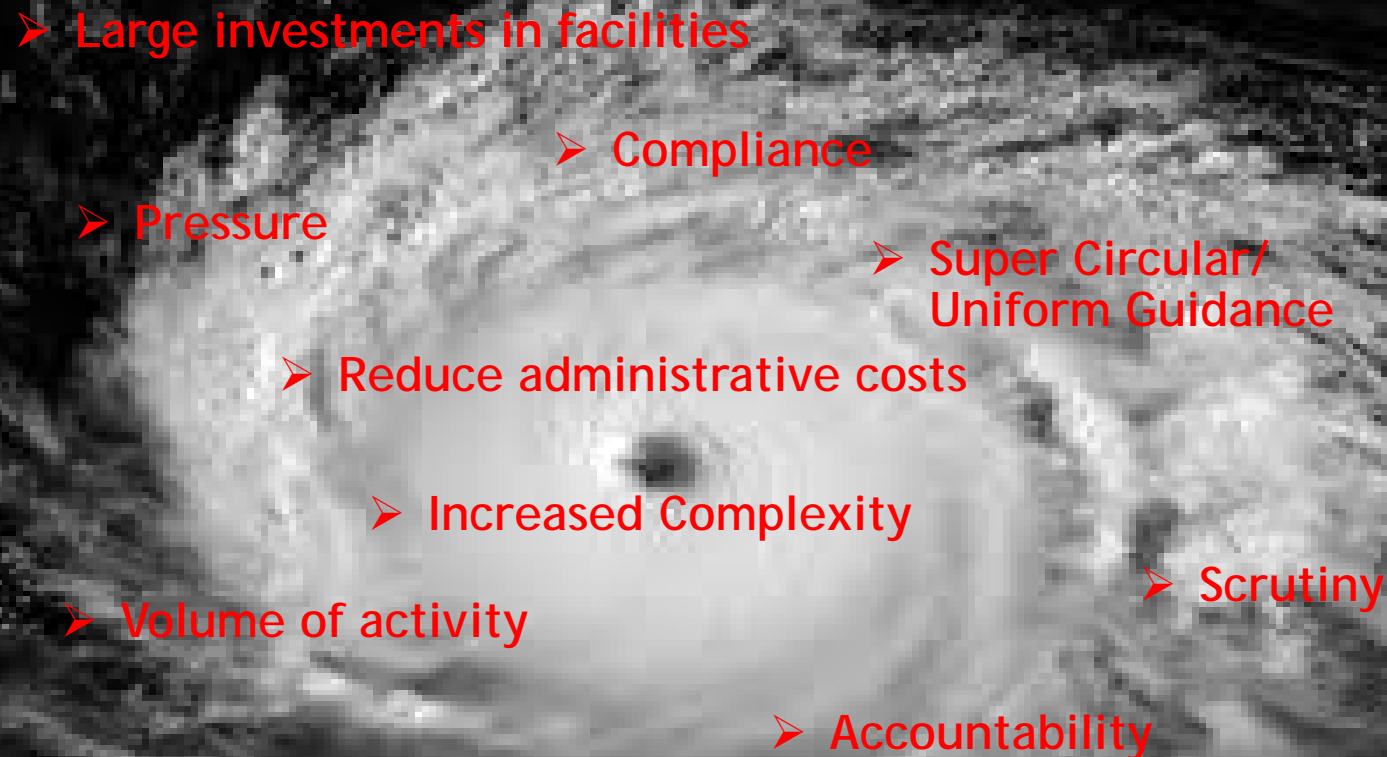


What is Research Administration?

- Dissemination of funding opportunities
- Communication of policies and processes
- Proposal preparation
- Award negotiation
- Award management
- Regulatory compliance
- Intellectual property protection and technology transfer
- Effort commitment and certification



Current Research Administration

- 
- Large investments in facilities
 - Compliance
 - Pressure
 - Super Circular/
Uniform Guidance
 - Reduce administrative costs
 - Increased Complexity
 - Volume of activity
 - Scrutiny
 - Accountability

Areas of Current Compliance Emphasis

Fiscal

- Cost Transfers
- Clinical Trial Billing
- Cost sharing
- Direct charging practices
- Effort reporting
- Financial reporting
- Program income reporting
- Recharge centers
- Subrecipient Monitoring
- Unallowable costs

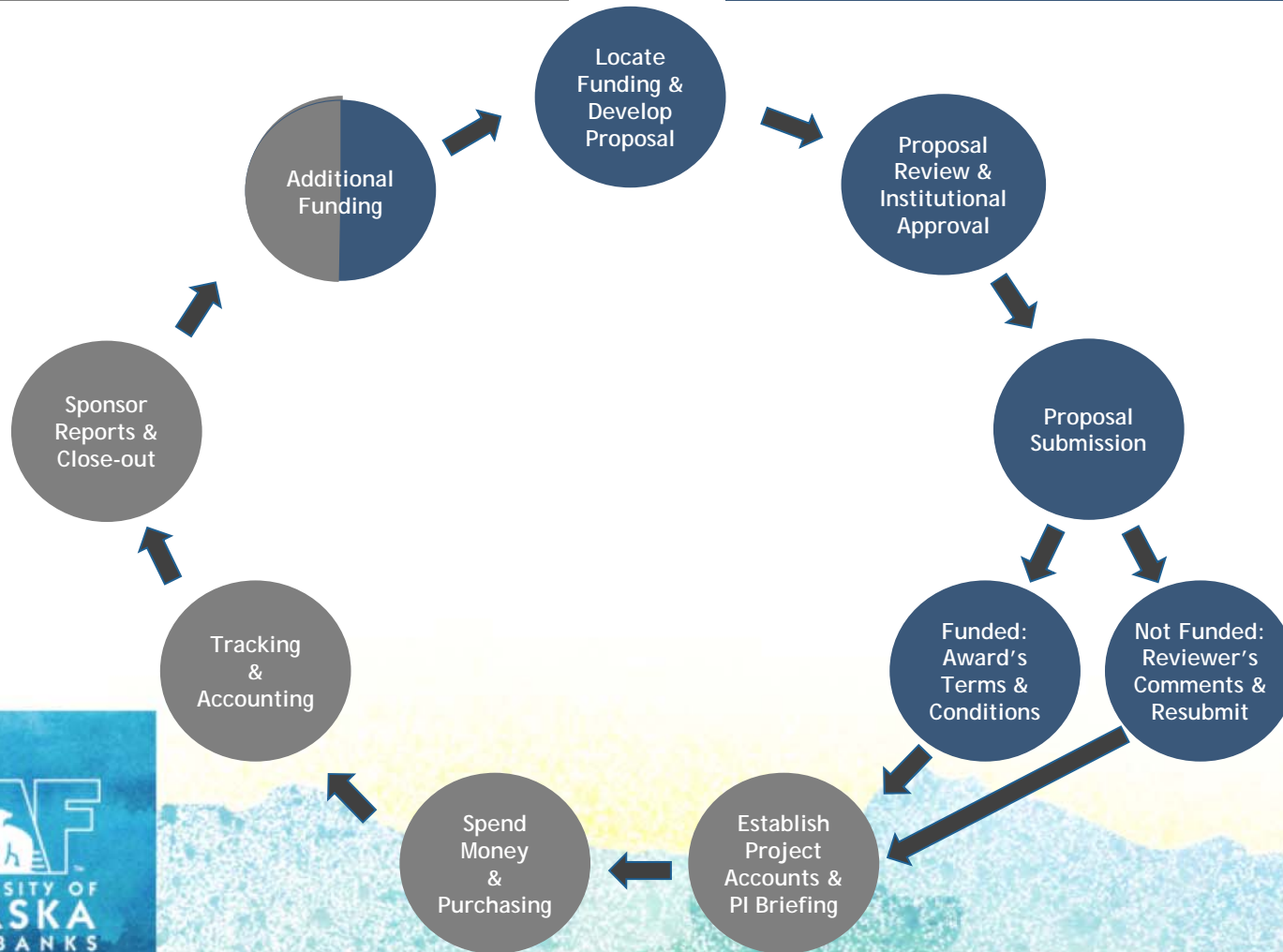
Research

- Animal subject protections (IACUC)
- Human subject protections (IRB)
- Conflicts of interest
- Environmental health & safety
- Export Controls
- Invention disclosure & reporting
- Scientific overlap
- Scientific misconduct
- Other support

The "Lifecycle"

Post-Award

Pre-Award



The Lifecycle





The goal is to enhance faculty and staff success in obtaining external funding for research, training, and service activities and to assist in the management of awards.



Vocabulary

Vocabulary

Research Administration has its own set of acronyms and jargon, so if we use any without defining them, please stop us and ask!



What are Sponsored Programs/Projects?

Projects and/or activities that are conducted by faculty and staff members and supported by external funds awarded to UAF.

- Research
- Non-Research
- Faculty & student training/Educational projects



What is a Principal Investigator? (PI)

- An individual designated to direct the project or activity being supported by the grant. He or she is responsible and accountable to the university and the sponsor for the proper conduct of the project or activity.
- At UAF, tenured and tenure-track faculty, research faculty, and emeritus faculty automatically have PI status.
- Anyone can be a Co-Investigator on a project.



For more information, refer to:

<http://www.uaf.edu/files/ori/05-003-Principal-Investigator-Eligibility-2005.pdf>

What is Key Personnel?

- A person who contributes to the scientific or scholarly development or execution of a project in a substantive, measureable way. A key person is defined as the principal investigator, all co-investigators, and all individuals explicitly listed as key personnel in the proposal
- In situations in which the proposal does not explicitly list key persons, the University defines key personnel as the principal investigator and all co-investigators on a sponsored project.



What is a Indirect or Facilities and Administrative Costs (F&A)?

Uniform Guidance, 2 CFR 200 Section §200.56:

“Indirect (F&A) costs means those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved.”



What is Cost Sharing or Matching?

Uniform Guidance, 2 CFR 200 Section §200.29:

“Cost sharing or matching means the portion of project costs not paid by Federal funds (unless otherwise authorized by Federal statute).”

- Mandatory cost sharing: Cost sharing that is *required* by the sponsor as a condition for proposal submission and award acceptance.
- Voluntary cost sharing: Cost sharing that is *offered* in a proposal but not required by the sponsor or that is over and above that which is committed and budgeted for in a sponsored research agreement.
- Costs used to satisfy matching or cost sharing requirements are subject to the same policies governing allowability as other costs under the approved budget.



What is are Sponsor Systems?

- Grants.gov
- ProposalCentral
- Research.gov
- Other Agencies
 - NSF FastLane, NIH Commons and ASSIST, NASA NSPIRES, NOAA Grants Online, DOE FedConnect, PAMS, American Heart Association Grants@Heart



What the the Electronic Systems at UAF?

- InfoEd - Proposal Funding Opportunities, Routing, Submission, and Tracking
- Banner - Financial Reporting System
- Effort Certification
- OnBase - Document management and retention system





Roles

The Research Administrator

Role of the Research Administrator

- Research administrators facilitate the link between research activities and research outcomes.
- Research administrators lead efforts to increase the effectiveness and productivity of institutional research by promoting the use of best practices in administration.



What you do as a Research Administrator?

Begin by understanding the lifecycle and the requirements to support successful research administration



Stay Ahead and Remain Compliant

- Stay current with compliance/issues in research administration
- Understand the complexities/challenges of research administration at within your department/unit
- Build an infrastructure that will support research administration within your department/unit.





Roles

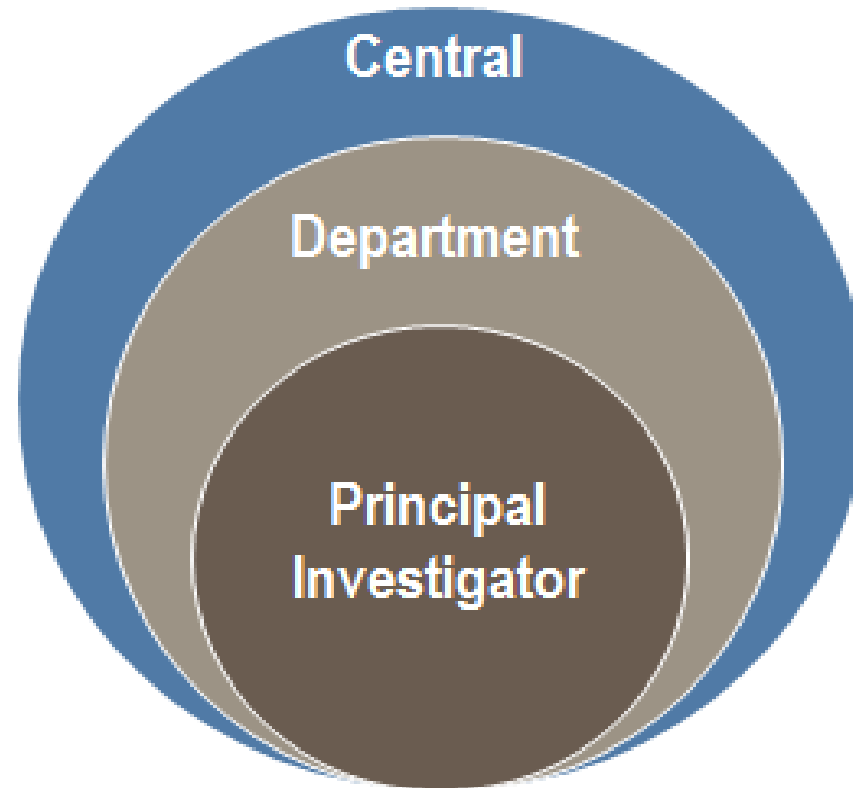
The Other Team Members

The “Team”

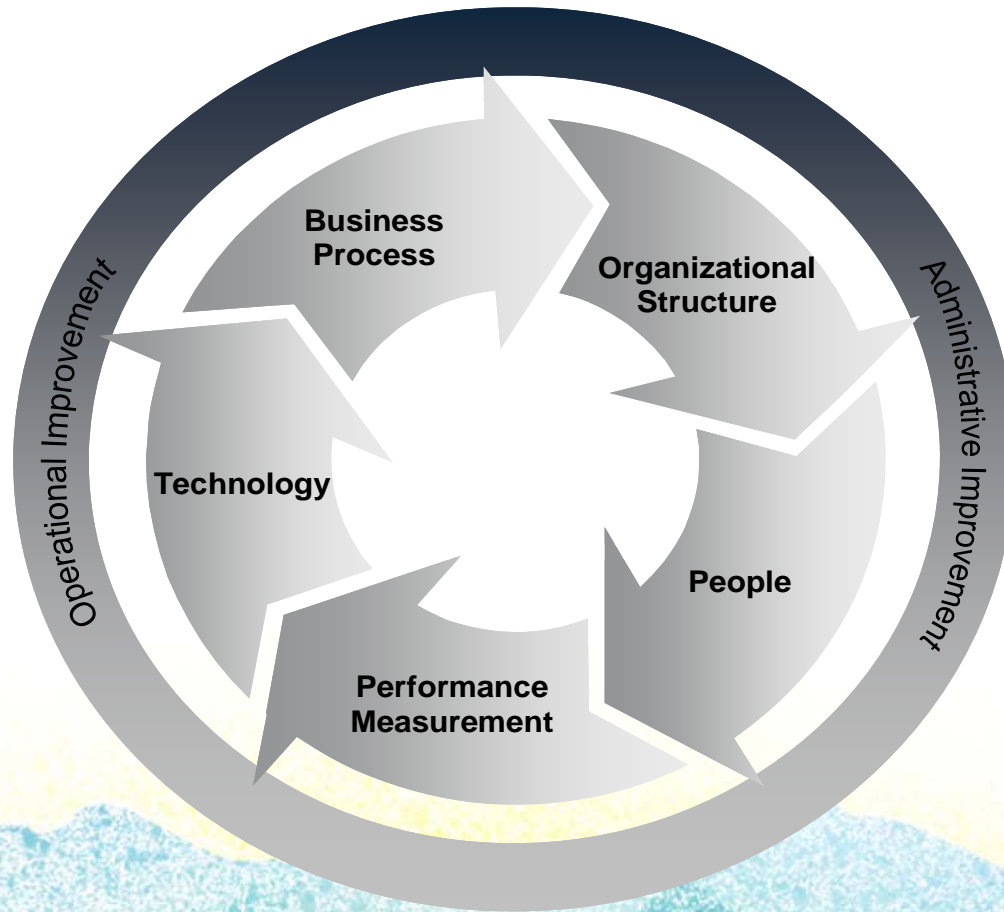
- **Principal Investigator** manages and performs the science.
- **Authorized Organizational Representative (AOR)** is authorized to sign on behalf of the Institution (UAF).
- **Research Administrator** supports the business aspects of the grants and contracts and coordinates activities.



Optimal Operations



Key Elements



Basics of Research Administration

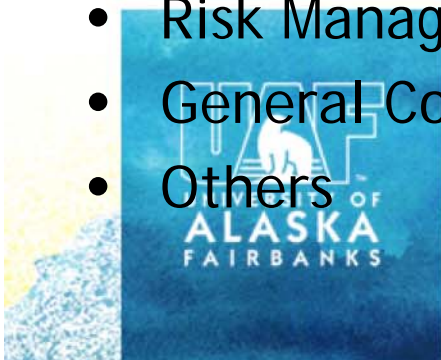
Roles and Responsibilities

- Who does what?
- What are my responsibilities?
- Why do I have to do this?



Who is Involved?

- Office of Grants and Contracts Administration (OGCA)
- Office of Intellectual Property and Commercialization (OIPC)
- Office of Research Integrity (ORI)
- Administrative Services
 - Human Resources
 - Procurement and Contract Services
 - Office of Finance and Accounting
 - Travel
- Risk Management/ Environmental Health and Safety
- General Counsel
- Others



Key Players

- Principal Investigator
- Dean and Director
- Unit Administrators
- OGCA
- Others



Key Players

- Principal Investigator
 - Identifying funding opportunities
 - Proposal preparation
 - Review and accept terms & conditions in partnership with OGCA
 - Manage the administration and science of the award
 - Fulfill and certify effort commitments



Key Players

- Dean/Director and Unit Administrators Offices
 - Assure work fits the department's mission
 - Provide general oversight for proposals including budget review
 - Review & approval of limited PI status
 - Verify PI eligibility/availability
 - Verify approval of regulatory compliance protocols
 - Approve cost sharing/matching
 - Verify resources and facilities
 - Manage effort
 - ✓ Be sure commitments are met
 - ✓ Be sure salary is charged correctly (avoid salary cost transfers)
 - **Oversee Financial management of awards**



Key Players

- Office of Grants and Contracts Administration
 - Provide institutional leadership through advising and training
 - Review, sign and submit proposals
 - Negotiate, accept and sign agreements for funding (e.g. federal, non federal agencies, non-profits, universities, etc.)
 - Effort reporting and other non-financial compliance
 - Report on and invoices for all charges
 - ✓ Charges must be recorded in Banner
 - Manage revenue
 - ✓ Match checks/sponsor deposits received in OGCA directly with correct projects
 - ✓ Deposit payments



Shared Responsibilities

All of the above! We are all a team
in the lifecycle process.
Communication and shared
responsibility are key.





The Rules

Regulations

Basics of Research Administration

Regulations

What do you mean, “I can’t buy [...] on my grant?” It’s my money, isn’t it?



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ALASKA
FAIRBANKS

Where do the rules come from?

- Laws, regulations, guidelines
 - Federal
 - State
 - UA System
 - University of Alaska Fairbanks (UAF)
 - Schools, Colleges and Institutes
 - Sponsors



Federal Regulations

- Office of Management and Budget (OMB) Uniform Guidance
 - 2 CFR 200
- Bayh-Dole Act
- USDA/AWA (Animal Welfare Act) and PHS/OLAW (Office of Laboratory Animal Welfare)
- OHRP (Office of Human Research Protections)
- CFR (Code of Federal Regulations)



State Regulations and Laws

- As an agency of the State of Alaska, we are required to follow state law:
 - Indemnification
 - Insurance
 - Arbitration/Jurisdiction
 - Record retention
 - Ethics
 - Personnel practices



University of Alaska System Polices

- UA Board of Regents policies
 - Travel
- Data ownership
- Publication rights
- Travel Policies
- Intellectual Property
- Other





Tips and Resources

Tips for your role

- Understanding your role as a Research Administrator
- Understanding the roles and responsibilities of the Office of Grants and Contracts Administration (inception to closeout)
- Knowing your team players within your department/unit and UAF
- Building a “culture of research” among with your area



Office of Grants and Contracts Administration (OGCA)

Office of Grants & Contracts Administration

Translating Inspiration into Project Funding

[Home](#) - [Project Lifecycle](#)

Home

Project Lifecycle

- [Generating Your Idea](#)
- [Finding Funding](#)
- [Developing Your Proposal](#)
- [Proposal Submission](#)
- [Award Negotiation & Setup](#)
- [Managing Your Award](#)
- [Award Closeout](#)

Resources

- [Electronic Research Administration](#)
- [Training & Professional Development](#)
- [Contact OGCA](#)

OGCA Hot Topics/News

- OGCA can bring [InfoED SPIN](#) training to your department! [Email us](#) for info.
- [Uniform Guidance \(2 CFR 200\)](#)
- [NSF Automated Compliance Checking of Proposals](#)
- [NIH Policy on Application Compliance](#)

Project Lifecycle

OGCA has adopted a Project Lifecycle management approach that encompasses all aspects of sponsored project administration. This means that our office is now organized to manage projects starting at the inception of an idea and finding a funding source, through writing and submitting a proposal, to management of the award and closing out the project, where the process begins anew.

Click on a lifecycle phase for policies, procedures, forms and other tools related to that stage of the project.

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For assistance with this website, please contact UAF-OGCA@alaska.edu



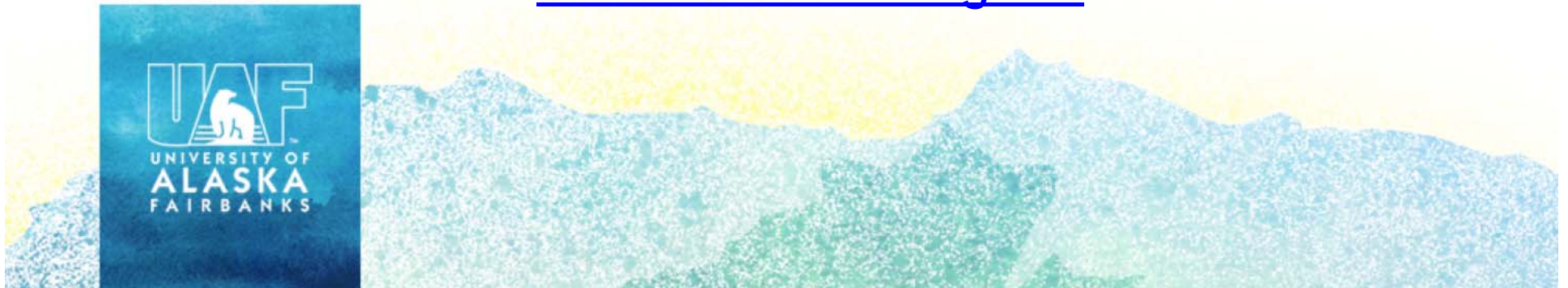
Research Administration Resources

- Where can I get help?
- Are there tools to help me prepare?
- Who can I call?



Resources

- Email Lists
 - OGCA Listserv
 - Research Administration Discussion List (RESADM-L)
 - National Science Foundation (NSF) Update
 - NIH Guide Listserv
- OGCA Website www.uaf.edu/ogca/





Thank You