

Introduction to Research Administration at the UW

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Surviving and Thriving During the Research Years

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Agenda

Part I: NIH structure & behind the scenes at a study section (Tom Hawn)

Part II: Introduction to Research Administration

**Part III: Training and Career Development Awards
(Sheila Lukehart)**

Agenda

- Provide a very brief overview of the grant proposal submission and award management process**
- Identify key players and introduce terminology**
- Identify additional learning resources**

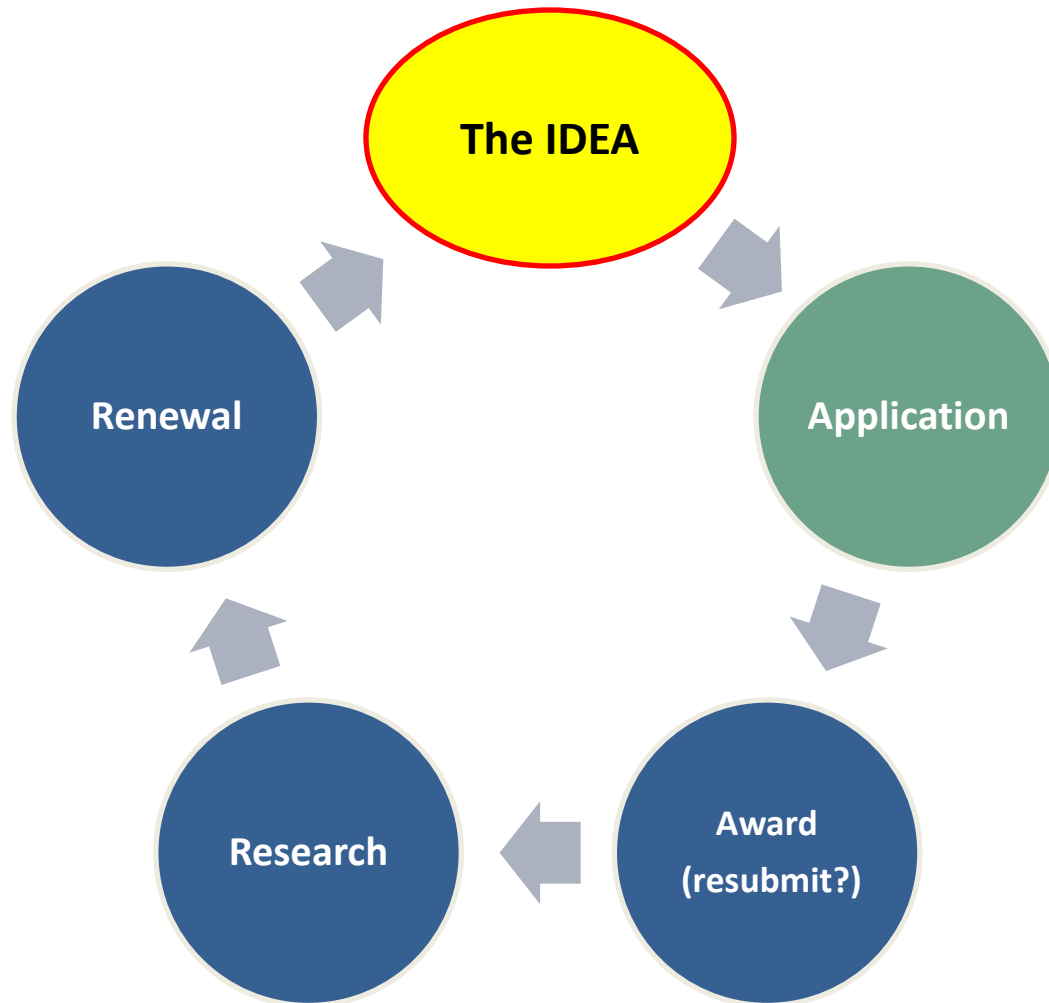
Key Players

- Principal Investigator**
- Mentor/Mentoring committee**
- Division (Department) administrative staff**
- Department and School reviewers**
- UW 'central' offices**
- Funding sponsors (not just NIH)**

The Challenge



Before you get started – think about the timeline



Before you get started

- **Discuss your plans and timeline with your Mentor**
- **Thoroughly read the program announcement and application guidelines (**more than once**)**
- **Understand that all grant proposals have both scientific and administrative components**
- **Proposal regulations are often complex and may not readily mesh with local guidelines, practices or required lead time**



Before you get started

- **Are you eligible? AND is this the right time?**
- **Are any special resources or commitments required (specific titles or appointment status)**
- **Any letters of reference or institutional support required?**
- **Does the sponsor pay Facility and Administration fees (indirect costs)?**

Principal Investigator and Mentor

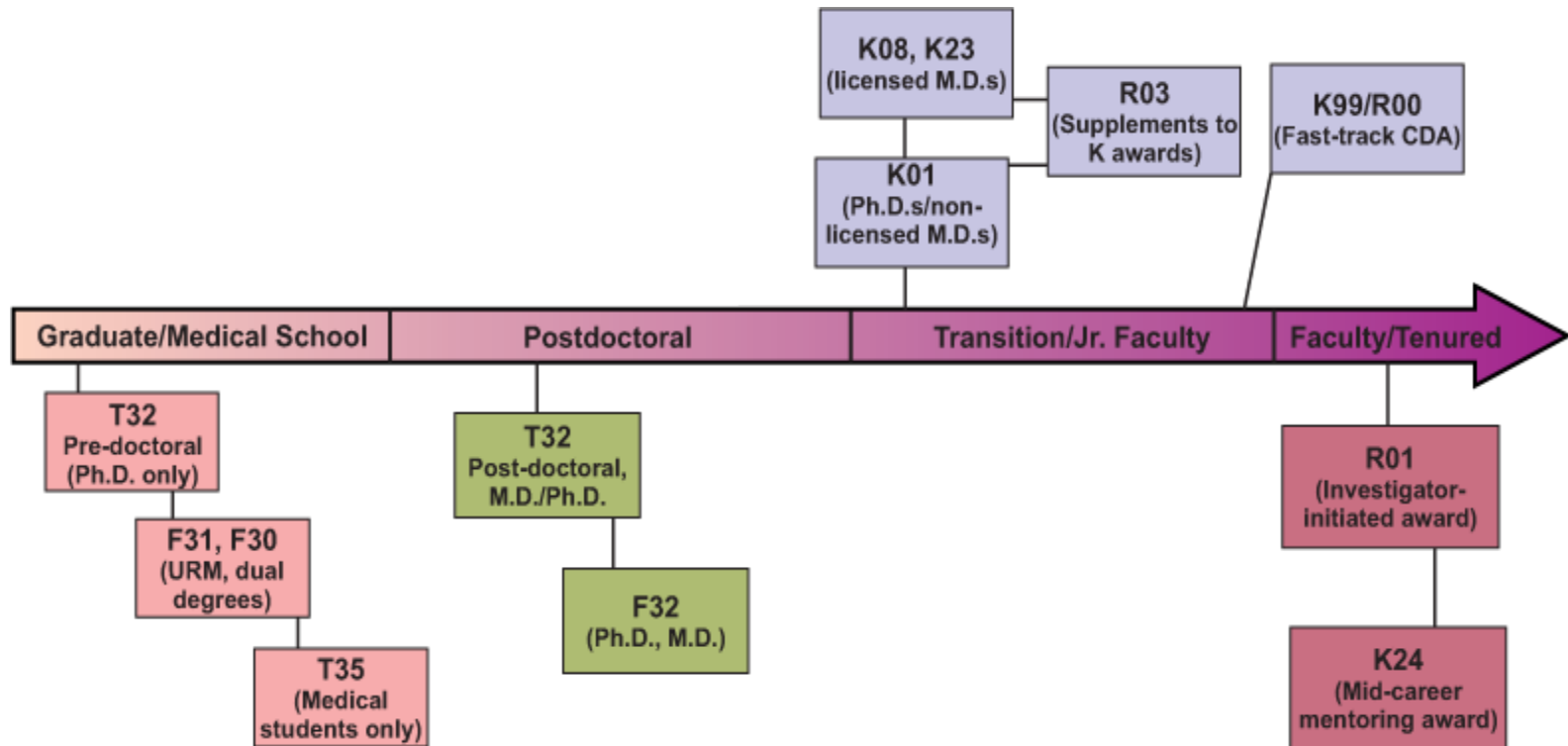
UW School of Medicine policy on PI eligibility

Fellows are allowed to apply for mentored fellowship grants and transitional grants leading to independence (career development awards) only

Pure research proposals are restricted to individuals with faculty appointments

Types of awards

NIH funding mechanism progression



Principal Investigator and Mentor

- **The Faculty Mentor is listed as the PI within the UW system**
- **The Fellow applicant is listed as the PI on sponsor forms**
- **Don't let this lead to confusion...**

Principal Investigator Responsibilities

The Fellow/Mentor pair are responsible for:

- **Alerting Division staff of submission plans**
- **Understanding application guidelines/requirements**
- **Establishing timelines and assignments with other advisors, collaborators, reviewers and staff**

Division Staff

Division administrative staff typically assist with any or all of the following:

- **Budget development and sponsor form completion**
- **Completion of UW internal review transmittal form (eGC1)**
- **“Translating ” grant-speak**
- **Assist with award processing and ongoing management**

Division Staff

Reminders and Helpful Hints...



- ✓ Remember that most staff are assisting multiple investigators
- ✓ Take care of the administrative details early to minimize distractions when finalizing scientific component
- ✓ Ask for clarification if needed

Internal Review

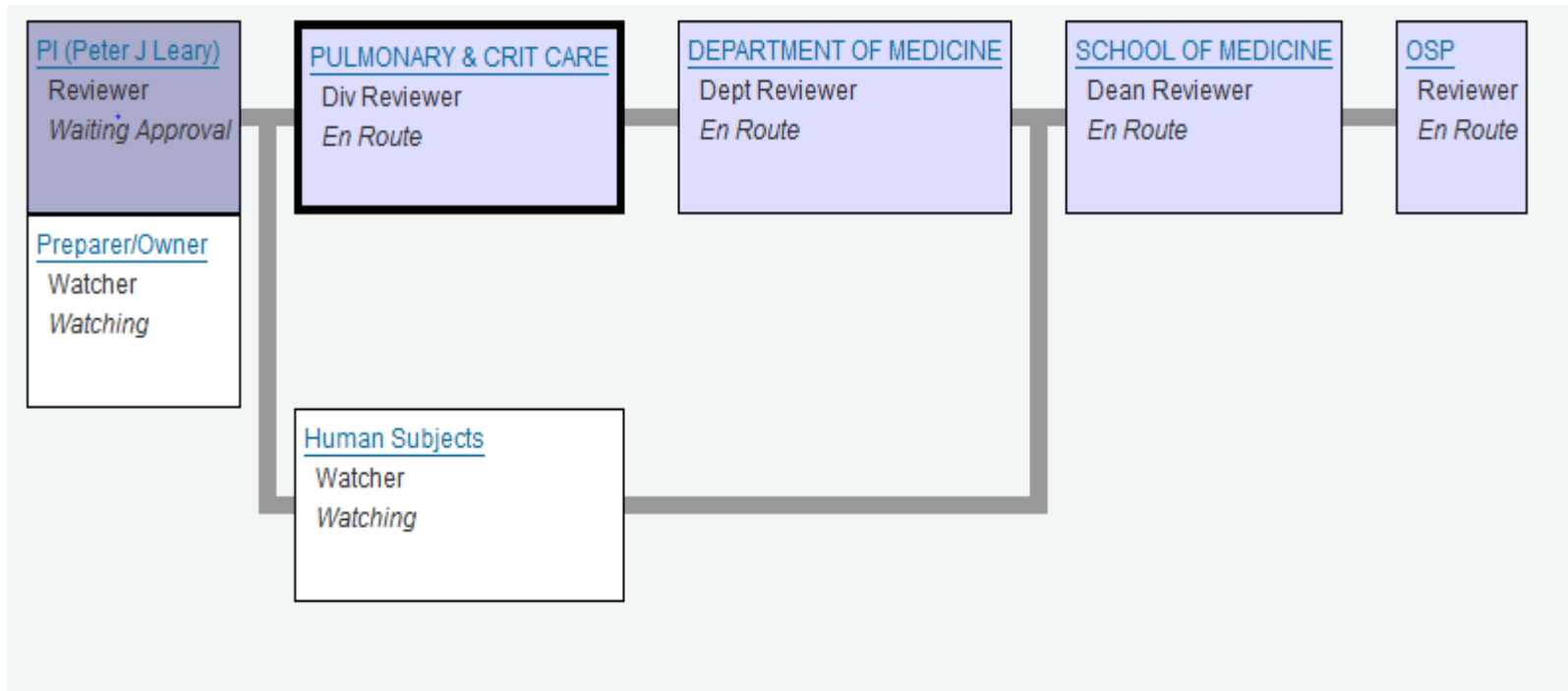
**An internal (UW) review is conducted of all proposals prior to submission to the sponsor
by a minimum of four offices**

- Division**
- Department of Medicine**
- School of Medicine**
- UW Office of Sponsored Programs**

SAGE and the eGC1

SAGE is the web-based system used to route documents for review

The eGC1 is the form within SAGE



SAGE and the eGC1

Internal (UW) reviewers assess:

- **Budgetary accuracy and form content**
- **Effort, space, or resource commitments**
- **Overall institutional commitments**
- **Compliance requirements**

Timeline

UW Policy

7+ business days:

- All final administrative components and draft “science” received by OSP

3+ business days:

- Final proposal in complete & final format
- Status = received and READY TO SUBMIT by OSP by 5 pm

<3 business days:

- Any application received by OSP after 5pm three business days before the sponsor deadline will not be reviewed and will be sent back to the PI/Dept

Timeline

UW Policy – READY TO SUBMIT (RTS)

3+ business days:

- Final proposal in complete & final format
- Status = received and **READY TO SUBMIT** at OSP by 5 pm

Proposals marked as RTS cannot be withdrawn from the review stream.

RTS proposals will only be returned for correction of system generated errors or upload errors

Budget Development and Use

- Award funding is split between **DIRECT** and **INDIRECT** monies
- **DIRECT** funding supports the costs of performing the research (e.g., salaries, benefits, supplies)
- **INDIRECT** funding supports the UW's 'overhead' – known as the facilities and administration needed to manage the process

Budget Development

Direct costs are those *allowable* costs associated with direct performance of the project

- **Salary and Benefits (figure this out first)**
- **Personal Services (e.g., consulting services, subject payments)**
- **Other Services (e.g., animal purchase, core research services)**
- **Travel**
- **Supplies (e.g., disposable items and minor equipment)**
- **Equipment**
- **Tuition and Fees**

Plus Facilities and Administration (indirect) costs = Total Costs of the proposal

Budget Development

- **Sponsor language is not always clear**
- **F & A costs must be charged when allowable**
- **Healthcare benefits are charged in addition to salary**
- **Benefit rates are adjusted annually and charged based on current agreement and job title**

Budget Development

Total Costs Available		\$50,000
Reduce for F & A allowed (10%)	=50,000/1.1	(\$4,545)
Reduce for health benefits (27%)	=45,455/1.27	(\$9,664)
Amount available for salary support		\$35,791

OF NOTE:

27% benefit rate based on job title and benefit rates in effect at time of submission, current rates applied at time of award.

Are budgetary adjustments necessary at time of award?

Budget Development

Become familiar with the concept of effort and allowable overlap

- **Faculty effort cannot exceed 100% for all activities**
- **Many awards require 75% effort but do not provide enough funding to pay 75% of an Assistant Professor salary**
 - *How will this gap be funded?*
- **Confirm when effort must be accounted for separately and when overlap may occur**

Office of Sponsored Programs

The Office of Sponsored Programs (OSP) is the authorized agent for the UW

- **Performs the FINAL review of proposals to ensure UW policies and application requirements are met**
- **Authorizes submission (or submits)**
- **Receives, accepts and negotiates awards made to the UW**

Compliance and Award Process

Most award sponsors will require proof of compliance prior to award activation

**This documentation process is referred to as
“Just in Time”**

**JIT and award information requests require
immediate action**

Don't hold on to these requests.

Compliance and Award Process

Examples of requested documentation

- **IRB**
- **IACUC**
- **Hazardous Materials usage**
- **Confirmation of appointment status**
- **Training in the protection of human research subjects**
- **Financial conflict of interest reporting and resolution**

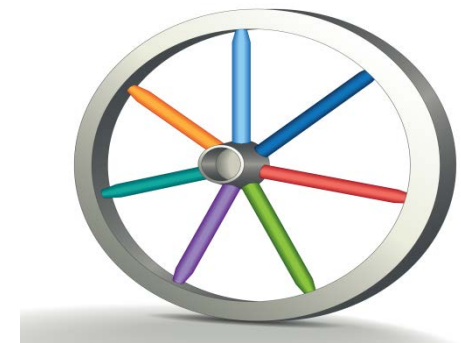
Compliance and Award Process

IRB and IACUC Protocols

- **Protocols are 'stand alone'**
- **Each funding source needs to be associated with the approved protocol via the modification process**
- **Reviewers at HSD and OAW will look for associations between the proposed work and the existing protocol**

Compliance and Award Process

- ✓ **PI/staff need to make the link between existing compliance approvals and new funding source.**
- ✓ **Understand that an award will not be activated if compliance requirements are not met – be proactive.**



Grant and Contract Accounting

Grant and Contract Accounting (GCA) facilitates the financial management aspects of an award

- **Provides high level oversight of all expenditures**
- **Assigns budget numbers and handles sponsor payments**
- **Coordinates financial reporting to the sponsor (technical reports are submitted via OSP)**

Expenditures

PI is responsible for ensuring that all expenditures are:

- **Consistent (with the aims of the proposal)**
- **Allowable (by the sponsor and the UW)**
- **Reasonable (you bought your airfare when?)**
- **Allocable (assigned the right percentage)**

Special Considerations

Will your proposal include activity outside the U.S.?

- **Become familiar with the Global Operations Support Office**
- <http://f2.washington.edu/fm/globalsupport/>
- <http://www.washington.edu/research/?page=ecr>

Will your proposal include clinical research conducted within UW Medicine?

- **Become familiar with the Clinical Research Budget and Billing Office**
- <http://www.uwmedicine.org/research/research-trials/crbb>

Resources

UW Medicine Research homepage

<http://www.uwmedicine.org/research>

UW Research Required Training Homepage

<http://www.washington.edu/research/compliance/required-training/>

Collaborative for Research Education

<http://www.washington.edu/research/learning/>