

# Grants & Contracts Administration

Update  
February 27, 2019



## Agenda for today's meeting

- Melissa - New format – RAU vs Trainings
- Amy – new OSP/GA structure
- Andrea – who to turn to and when
- Melissa – metrics / numbers
- Melissa – GMS update
- Questions / ideas for training ??

## Research Administration Updates:

- Federal updates
- Institutional updates
- Statistics
- Best practices
- Information
- Broad audience application



## Training:

- Focused areas
- Deeper dive into “how to”
- Based on your needs and feedback
- Focused audience

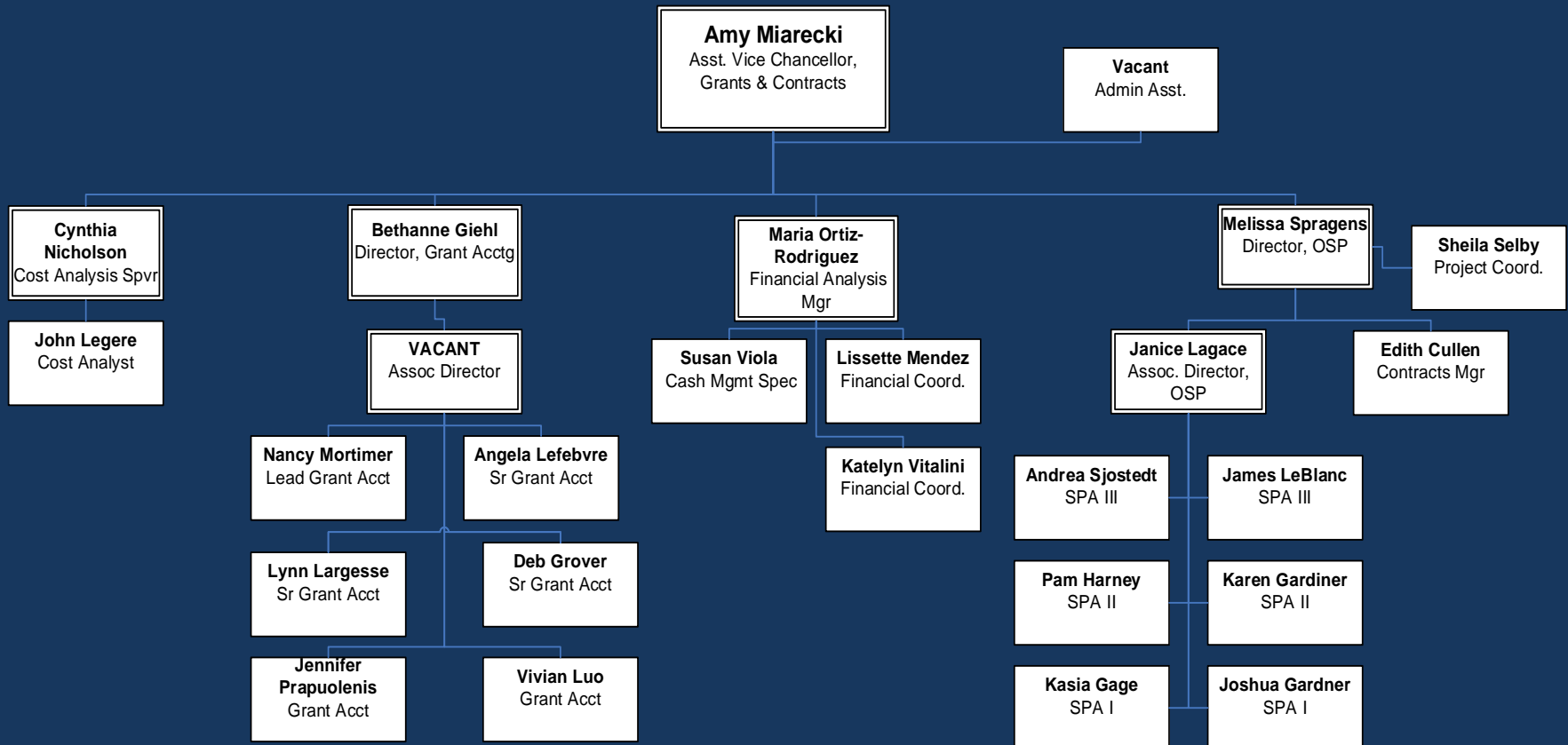


# Looking Ahead

Date	Location	Handout	Training Topic
February 27, 2019	Lazare Auditorium (S1-607)		Research Administration Update Overview of Sponsored Programs Pre and Post-Award
March 27, 2019	Lazare Auditorium (S1-607)		Training
April 24, 2019	Lazare – LRB Function Space, Blais Pavilion		Training
May 22, 2019	Amphitheater I - S2-102		Research Administration Update
June 26, 2019	Hiatt Auditorium S1-608		Training
September 25, 2019	TBD		Research Administration Update
October 23, 2019	TBD		Training
November 20, 2019	TBD		Research Administration Update

# Current Org Chart

## Grants & Contract Administration





- To provide guidance and stewardship from proposal to award closeout
- Enhanced service delivery and partnership with Faculty, Departments, Sponsors and other Central Depts. (i.e. OCR, OTM)
- Development of grants management policies and procedures
  - Review of existing policies & procedures accounting changes in federal regulations and sponsor requirements (i.e. Uniform Guidance)
- Oversight and maintenance of systems used for proposal and award mgmt.
- Institutional and central grant/contract reporting

# OSP-Pre award

- Assist in locating and communicating sources of funding
- Ensure PI eligibility
- Validation of approved protocols
- Review and approve proposals and progress reports prior to submission – Authorized Officials
- Negotiate grants and contracts
- Create and process subaward agreements
- Assist with grant transfers in/out
- Process prior approval requests and amendments (i.e. NCE, budget changes, PI/Key changes)

- Create chartstrings and budgets in PS
- Monitor budgets & spending for compliance
- Assist departmental staff with expenditure questions, effort (PA's), journals, reporting
- Prepare and submit invoices for payment
- Accounts receivable management
- Prepare and submit financial reports – Financial Officers
- Award closeout and document retention
- Responsible for all audit oversight & support



# Cost Analysis

- Annual Space Survey
- Annual Effort Certification
- NIH salary cap monitoring
- Creation of the indirect cost proposal (F&A)
  - School:
    - Sponsored Research: 67.5%
    - Other Sponsored Activity: 36%
    - Other Institutional Activity: 79%
    - Off-campus: 26%
  - CWM: 18.25%
  - MBL: 26% Off-campus plus direct charging of space costs

# FY2018 Statistics

- # of proposals submitted: 921
- # of progress reports submitted: 460
- Total FY18 awarded amount: \$257M
- # of active awards: 1,598
- # of active projects: 2,150
- FY18 Research Expenditures: \$269.5M  
(direct and indirect)
- F&A Recovery: \$73.1M
- Total AR at year end: \$32.2M



It all begins with a scientist

and



an idea

## Office of Sponsored Programs – Grant Accounting – Department Administration



## *Finding Funding : PI, Dept, OSP, Development*

Most seasoned PI's are familiar with this process, and newer faculty will usually have a mentor or two that will help them find what is right for his/her research, but if they come to you for suggestions, this is what you might offer:

- OSP currently sends out notification of federal funding opportunities that are sent to the university. These include NIH, NSF, DOD, etc.. Make sure you're on our list.
- Office of Corporate and Foundation Relations – they consist of a small staff that is willing to assist in finding specific funding
- COS Pivot – is a database to which UMMS currently subscribes. The link can be found on our website under Funding Opportunities

*Proposal Development: PI, Department, OSP, OCR, IRB, IACUC, GSBS, BURSAR, OTM*

- Department Administration – should meet with PI with Information worksheet to determine what is needed. Form can be found on our website under the Forms tab

Things you need to know and where to go:

- Animal Subjects – confirm with PI if “yes” to animals, and lists an approved protocol, that the experiments proposed in the application are specifically covered by the protocol. If not, list protocol as Pending. **IACUC**
- Human Subjects - If PI is unsure, then contact the IRB. Once the proposed work is explained, they’ll be able to determine whether Yes or No should be answered. **IRB**
- If your PI, in the end, says “yes to HS, and provides you with an active/ approved protocol, make sure the work being done is covered in that protocol. If not, list protocol as Pending.
- if Clinical Trial, reach out to the Office of Clinical Research. Most clinical trials are not capturing all applicable costs of the study. You will need this information for your budget. **OCR – there will be a training on Clinical Trial Research in June**



- Fellowship - *GSBS, BURSAR*
- Industry – *OTM*

No matter who the sponsor is, your best resource are the guidelines. READ READ READ

*Route and Submit Proposal: Department, OSP*

What is needed and when:

Peoplesoft Routing Form with signatures, eSDFI, internal budget worksheet, approved protocols, the budget and justification that will be sent to sponsor, and any other relevant documents.

When brought to OSP, it is time stamped and distributed to your department's portfolio owner. They will contact you with any questions they may have. Once they've completed their review, it will be passed along for a secondary review.

PLEASE PLEASE PLEASE....Pay attention to the dates that are on the PRF

PLEASE PLEASE PLEASE.....Do not double side or staple.

*Project Set-up – Department, OSP, Grant Accounting  
sometimes GSBS, Development*

Just in Time (JIT) – The sponsor may ask for additional information.

At this stage, it is imperative if the application includes work with vertebrate animals, a congruency review be done. The PI is responsible for downloading the application from the Commons and sending it to [Grant.Congruency@umassmed.edu](mailto:Grant.Congruency@umassmed.edu) along with the Docket #.

NOA is issued - OSP distributes to the PI, Dept Administrator, Dean Flotte, OTM, OCR (if applicable), and Public Affairs

If there has been a reduction greater than 10%, OSP will request a new budget, although, we may ask for a revised budget regardless, especially if there is a sub. We will make sure FCOI training is up to date, protocols have been approved and are active and the PI's effort along with any other person named in the NOA has not been reduced more than 25%.

OSP then accepts the award, flips in PS, and scans to Grant Accounting for account set up (chartstring).

## *Manage Project – Department, Grant Accounting, OSP*

### Department Resources:

- Accounts Payable/Purchasing
- Payroll
- OSP – Sub Awards, Progress Reports, Prior Approval Requests
- OTM – Invention, Patent Reporting – Material Transfer Agreements
- OCR – Clinical Trial Reporting – EPIC and ENCORE
- Grant Accounting – invoicing, monitoring and compliance, journals, FSR's

### *Closeout – Department, Grant Accounting, OSP*

Department should work with their Grant Accountant to ensure the project has accounted for all expenses so they can process the FFR

PI – needs to process a Final Invention Statement and FRPPR. Both should be Routed to OSP. We will submit.

# Statistics

## Proposals by Sponsor, Volume and Dollars - 6 most common sponsors

Sponsor	Volume	Direct	Indirect	Total
NIH-NATIONAL INSTITUTES OF HEALTH	165	\$ 224,772,155	\$ 114,622,195	\$ 339,394,350
U.S. DEPARTMENT OF DEFENSE	10	\$ 18,308,753	\$ 7,194,607	\$ 25,503,360
NATIONAL SCIENCE FOUNDATION	9	\$ 3,044,926	\$ 1,130,576	\$ 4,175,502
UNIVERSITY OF MASSACHUSETTS - AMHERST	7	\$ 2,535,119	\$ 1,558,319	\$ 4,093,438
BAYSTATE MEDICAL CENTER, INC.	5	\$ 161,750	\$ 106,571	\$ 268,321
MASSACHUSETTS GENERAL HOSPITAL	4	\$ 771,756	\$ 439,137	\$ 1,210,893

## Requests by type in FY19 (July 1, 2018 - December 31, 2018)

	Volume	Direct	Indirect	Total
Annual Progress Report	186	\$ 40,371,130	\$ 16,623,941	\$ 56,995,071
Proposal	460	\$ 360,363,405	\$ 159,979,680	\$ 520,343,084
Supplement	14	\$ 4,077,783	\$ 495,258	\$ 4,573,041
State Contract	4	\$ 724,201	\$ 121,654	\$ 845,855
Grand Total	664	\$ 405,536,518	\$ 177,220,533	\$ 582,757,051



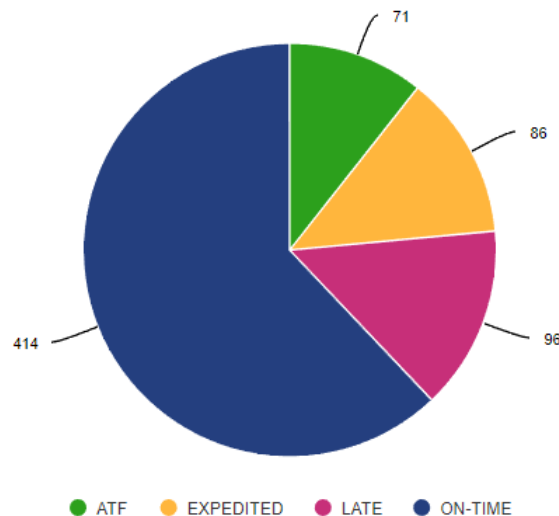
## Calendar Year 2018

Row Labels	Count of Status	%
Proposal	976	
ATF	108	11%
EXPEDITED	138	14%
LATE	129	13%
ON-TIME	601	62%
Grand Total	976	100%

ATF + Expedited + Late = Late proposals.

For Calendar Year 2018 62% of **proposals** were on time.

Proposal Status



Data for FY19 beginning July 1, 2018 to current.  
62% on time (out of 667 proposals so far).

## Pre-award system:

What: Find a system solution to support and facilitate the electronic management of all proposal and award grant activity

Baseline: Currently no pre-award management system

Benefits: So many

Timeline (estimated):

Business needs completed 2/15/19

RFP goes out 3/1/19

Vendor demos 3/15-4/30/19

Selection and negotiation 5/1/19-6/30/19

Implementation begins 7/1/19

Questions??

Topics for future Trainings:

Carryforward – when, why and how  
Clinical Trials Research