Collaboration Between the Central Sponsored Programs Office and Department Contract and Grant Administrators

SRA International Annual Meeting
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4:30 – 5:30 pm
Workshop Speakers

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Learning Objectives

- Identify **shared/common goals** between the central Sponsored Programs office (SPO) and department contract and grant staff
- Outline **strategies for developing collaborative relationships** between the central SPO and department contract and grant staff
- Recognize areas where confusion may arise and plan to **minimize the confusion**
Outline

- Shared/Common Goals
- Collaboration Strategies
- Minimizing Confusion
- Key Take-Aways
- Example Resources for Department Contract & Grant Administrators
SHARED/COMMON GOALS
Roles and Responsibilities

- Does your institution have a central SPO and many departmental research administrators?
- If so, what is that central SPO responsible for?
- What are the department contract and grant administrators responsible for?
# Roles and Responsibilities

## Sponsored Programs Staff
- Proposal review
  - Campus requirements
  - Sponsor compliance
  - Regulatory compliance
- Institutional endorsement/approval (of proposals)
- Proposal submission*
- Review, negotiation and acceptance of awards

## Department Contract and Grant Administrators
- Proposal coordination
  - Monitoring deadlines
  - Collecting required documents
- Proposal preparation
  - Compliance with sponsor program administration guidelines (formatting, pagination, etc.)
  - Regulatory requirements
- Proposal submission*
- Project/Award support
  - Purchasing
  - Formatting reports, disclosures
  - Publication preparation
Overall Goal:
Overall Goal: Funded Awards
COLLABORATION STRATEGIES
Central Sponsored Programs Office

- Provide Resources
  - Websites
  - Training Opportunities
    - Training Sessions (casual/formal)
    - Online Videos
    - Staff Development Classes
    - Staff Development Certificates
  - Tools/Guides
- Be responsive and timely in reviews
- Provide clear guidance
- Understand that department administrators often wear multiple hats
Department Contract & Grant Administrators

• Meet deadlines*
• Get to know relevant procedures, rules, etc.
• Read the Sponsor’s guidelines, award documents and other materials
• Ask the central SPO for clarification
• Be resourceful
  • Utilize central SPO resources including:
    • Toolkits and Guides
    • In-person and on-line training
  • Google (or your favorite search engine) is your friend!
Joint Strategy: Collaborate

What does “collaboration” mean?

• To work jointly with others or together…
• To cooperate with or willingly assist…
• To cooperate with an agency…

Source: Merriam-Webster Dictionary (online)
COLLABORATE (as an acronym)

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MINIMIZING CONFUSION
Potential Areas of Confusion

- Proposal Preparation
- Award Review
- Subaward Process
- Post Award Actions
Who is responsible for preparing and submitting proposals and what are the internal deadlines?

What does SPO review during the proposal, award and subaward processes?

Who reviews and negotiates awards? Who determines if terms and conditions are acceptable?

What compliance item are required of the PI? Does SPO or the dept. assist?

How is an outgoing subaward issued to another organization?

How are post-award actions, such as No-Cost-Extensions, requested?

What else?
Ways to Minimize Confusion

Be Proactive

- Prepare Resources
  - Help Guides, Toolkits
  - Websites
- Know Roles and Responsibilities
  - Proposal preparation and submission
  - Award terms and conditions requiring:
    - Central SPO review and approval
    - PI congruence
    - Department approval

Clear Expectations and Requests

- Processes (at the institution)
- Timelines/Deadlines
- Requests for Information/Documentation
  - Required Compliance Items

Get to know each other
KEY TAKE-AWAYS
Key Take-Aways

- We are...
  - Colleagues
  - Collaborators
  - Peers
  - Resources (to one another)
  - A team

- We have the same overarching goal
  - More funding for research, instruction and other sponsored activities
What Can You Do?

Work to Minimize Confusion

• Disseminate important information to department contract and grant staff
  • Listservs
  • Social Media
  • Prepare a “Welcome Packet”

• Plan training programs for department contract and grant staff to work well with the Sponsored Programs Office
  • Institution’s staff development program
  • More frequent and shorter sessions (SPO BAASICS)
  • Work with subject-matter-experts and update often

• Resolve issues between the central Sponsored Programs Office and department contract and grant staff
  • Remember to COLLABORATE
  • Apply good customer services skills
EXAMPLE RESOURCES FOR DEPARTMENT CONTRACT & GRANT ADMINISTRATORS
Example Resources: Website/Webpages

Sponsored Programs

Sponsored Programs reviews and submits research proposals, negotiates and accepts awards on behalf of the UC Regents and drafts and negotiates and execute (outgoing) subawards for collaborative research. Select the topic below for more information and relevant instructions.

- Proposal Preparation and Submission
- Awards and Award Modifications
- Outgoing Subawards
- Other Processes

Need Help?

Quick Links:
About SPO | Principal Investigator Responsibilities | Research Agreement Compliance | Dean/Chair Proposal Review | F&A and Fringe Benefit Rates
Example Resources: Website/Webpages

Proposal Preparation and Submission

Per PPM 230-02 all proposals to external funding agencies (sponsors) for extramural support of research, training and public service must be reviewed and approved by Sponsored Programs. This includes letters of intent (LOIs) and preliminary proposals (pre-proposals) that require institutional approval or endorsement, include a budget amount and/or require agreement to terms and conditions at the LOI or pre-proposal phase.

+ General Tools and Instructions

+ Determine Principal Investigator and Institutional Eligibility

+ Prepare and Submit Proposal Components, including Proposal Budgets, to SPO

+ Check Proposal Status and Work with SPO during the Review

+ Submit a Post-Proposal Action, Including Just-In-Time Requests, to SPO
Example Resources: Website/Webpages

Awards and Award Modifications

+ Send Notice of Award to SPO
+ Submit an After-the-Fact Proposal to SPO
+ Submit an Award Modification/Amendment to SPO
+ Check Award Status
+ Work with SPO during Award Review
+ Submit a Progress Report
+ Transfer an Award to/from UC Davis
+ Work with SPO during Award Closeout
Example Resources: Website/Webpages

Outgoing Subawards

+ Guidance and Forms
+ Submit a Proposal with Subawards
+ Send a Subaward Request to SPO
+ Work with SPO during Subaward Review
+ Monitor a Subaward
+ Receive and Submit a Subrecipient's Final Invoice
+ Closeout a Subaward
Example Resources: Website/Webpages

Other Processes

+ Request a Sponsor Code
+ Request Principal Investigator Exception
+ Submit a Post-Proposal Action, Including Just-in-Time Requests, to SPO
+ Change a Primary Administrative Contact
+ Request an Advance Account
+ Transfer and Award to/from UC Davis
### Example Resources: Training Opportunities

#### SPO Training

<table>
<thead>
<tr>
<th>Resource</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>SPO BAASICS (Training Sessions)</td>
<td>2-hour sessions, weekly</td>
</tr>
<tr>
<td>Research Administration Forums</td>
<td>1 ½ hour forums, monthly</td>
</tr>
<tr>
<td>SDPS Classes</td>
<td>3 hours classes, 3x per year</td>
</tr>
</tbody>
</table>

- + **Handbooks, Toolkits and Other Documents**
- + **Additional Resources**
### Research Administration Certificate Series (RACS)

**Certificate Series Checklist**

#### Pre-Award

**Required:**
- [ ] Sponsored Programs Essentials
- [ ] Proposal Preparation and Submission
- [ ] Preparing a Proposal Budget: Basics
- [ ] Preparing a Proposal Budget: Lab
- [ ] Understanding the Awards Process
- [ ] Electronic Research Administration (eRA)

#### Post-Award

**Required:**
- [ ] Principles of Research Administration
- [ ] Post Award Administration, Part I
- [ ] Post Award Administration, Part II
- [ ] Costing Principles
- [ ] Indirect Costs
- [ ] Cost Sharing and Effort Commitments
- [ ] Financial Closeouts
- [ ] Decision Support Reports for Research Administration

#### Other Research Compliance

**Required:**
- [ ] Protection of Human Research Subjects
- [ ] Technology Transfer for the Research Administrator
- [ ] National Security Issues
- [ ] Copyrights at UC Davis
- [ ] Conflict of Interest: How to Spot and Manage It

#### Risk Management

**Required:**
- [ ] Accountability, Ethics and Internal Controls
- [ ] How to Survive an Audit
Example Resources: Training Opportunities

Electronic Research Administration (eRA) is an integral component of the research administration process.

All proposals for review and approval by the Sponsored Programs office, as well as some others on campus, must be submitted through Cayuse SP. Additionally, many sponsors require submission of proposals and progress reports to them via an eRA system. It is very important for a broad base of campus expertise in eRA to exist. Those completing this certificate will not only have a broad base of knowledge regarding the eRA systems used at UC Davis but will also be an invaluable resource in their units.

Required classes to complete this certificate series:

- electronic Research Administration (eRA)
- Cayuse SP and 424: Role Management, 424 Professional Profiles and Routing
- Cayuse SP: Working with SPO on Awards and Pre-Award Spending Requests
- Cayuse SP and 424: Working with SPO on Subawards (outgoing/incoming)
Example Resources: Training Opportunities
Example Resources: Tools and Guides

- Handbooks, Toolkits and Other Documents

  - Cayuse SP Interactive How-To Guide
  - Cayuse SP and 424 Handbooks and Video Tutorials
  - Call for Proposals Checklist
  - Proposal Preparation Checklist
  - Proposal Preparation and Submission Toolkit
  - Budget Templates
  - Preparing a Proposal Budget Toolkit
  - Senior/Key Personnel Descriptions
  - Submitting Proposals with Cost Sharing
  - Subaward or Contractor/Vendor Guidance: How to distinguish between a Subaward and a Contract for Service
Thanks

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