An Overview of Research Administration Services

Shared Office for Administration of Research (SOAR)
October 20, 2017
# Overview

1. Organizational Structure & Model
2. Pre- and Post-Award Administration
3. Compliance
4. Resources and Contact Information
Model

SOAR assists researchers in applying for, and managing sponsored funding through:

- Assigning each faculty member a designated Grants Administrator (GA) who assists the PI through the entire lifecycle from pre-award to post-award and close out of their sponsored project.

All request for pre and post award services can be made to uwm-soar@uwm.edu.

- Request must be submitted no later than 15 days prior to the sponsor’s due date. PIs are responsible for engaging the grant administrator as early in the process as possible.
Roles Pre-Award

- **Grant Administrator - SOAR (GA)** supports the business aspects of the grant and coordinates activities.
- **Principal Investigator** manages and performs the science.
- **Pre-award Specialist – Office of Sponsored Programs (OSP)** review the proposal to ensure it meets sponsor and institutional technical guidelines and requirements, and conforms to all applicable regulations.
- **Authorized Signing Official – OSP** authorized institutional officials on behalf of the University will sign/certify proposal submissions to sponsors.
Pre-Award

Grant Administrator

• Review sponsor guidelines
• Create and manage timelines
• Liaise with OSP, funding agencies, partners on behalf of PIs and UWM
• Provide templates for grant application sections
• Develop budgets, justifications
Pre-Award

Grant Administrator

- Obtain subcontract institutional approvals
- Help develop and prepare application files
- Draft administrative sections
- Initiate and route WISPER records (includes cost-sharing, indirect cost splits)
- Monitor final submissions
Example NIH R01 Application Process—SOAR Proposal Timeline

Plan and Notify: 6+ weeks before proposal deadline

1. Notify SOAR/GA and OSP
   - Sponsor Name
   - Solicitation #
   - Deadline
   - Planned Collaborators
   - Account Registration (NIH eRA Commons)

2. Read solicitation
   - Restrictions
   - Eligibility
   - Documents Required

3. Plan project
   - Identify Team
   - Develop Budget
   - Initiate Subcontracts
   - Initiate Cost-share Requests

4. PI & team develop proposal

Write & Assemble: 2-6+ weeks before deadline

5. PI/GA develop and assemble required proposal sections and documents*
   - Budget and Justification
   - Biosketches
   - Facilities, Resources, Major Equipment
   - Data Management Plan
   - Postdoctoral Mentoring Plan
   - Subcontract commitment packages
   - Cost share commitments
   - Current and Pending Support
   * Other items may be required by sponsor

6. GA uploads documents in WISPER

7. GA routes WISPER record for internal approvals

Submission: 5+ days before deadline

8. GA submits final proposal to OSP for review

9. GA/PI address OSP comments and revisions

10. GA submits revised proposal to OSP for final review/submission

11. OSP submits proposal to sponsor
Proposal Checklist

Meeting with PI

• Once you know you’re going to submit a proposal, contact SOAR and the GA will schedule a time to talk about the proposal and review the SOAR Pre-award checklist.
Budget Tool

• OSP provides the budget tool to build your budget

• The tool includes the latest rates necessary for a sponsored project.
  • Fringe Benefit rates
  • Tuition
  • F&A
  • Calculations are provided for the life of the project (up to six years)

• Budget Tool
  (http://uwm.edu/officeofresearch/budget-development/)
# Administrative vs. Scientific

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<tr>
<th>Administrative</th>
<th>Scientific</th>
<th>Joint</th>
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<tr>
<td>• WISPER Record</td>
<td>• Bibliography &amp; References</td>
<td>• Facilities and Other Resources</td>
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<td>• Cost Share Documentation</td>
<td>• Introduction to Application</td>
<td>• Equipment</td>
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<td>• SFS 424 application</td>
<td>• Project Summary/Abstract</td>
<td>• Consortium/Contractual Arrangement</td>
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<tr>
<td>• Biographical Sketch</td>
<td>• Project Narrative</td>
<td>• Multiple PD/PI Leadership Plan</td>
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<tr>
<td>• Budget</td>
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<tr>
<td>• Budget Justification</td>
<td>• Research Strategy</td>
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<tr>
<td>• R&amp;R subaward &amp; other subaward documentation</td>
<td>• Human Subjects Sections</td>
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<td>• Letters of Support</td>
<td>• PHS Assignment Form</td>
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<td>• Performance Sites</td>
<td>• Authentication of Key Biological and/or Chemical Resources</td>
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Principal Investigator Responsibilities

• Obtain eRA Commons Account
• Develop proposal content
  • Manage the development of the proposal
    • Recruit, select, identify collaborators; coordinate/coordinate and obtain letters of support from collaborators
    • Connecting SOAR GA with Administrators at Collaborating Institutions
    • Develop timelines and scheduling
    • Identify and coordinate use of UWM facilities
    • Identify contractors, vendors, supplies, materials; obtain quote
    • Choose a study section
• Timely proposal review and submission
• Notify GA and Associate Dean of funding decision
Proposal Development Services

Contacts
Kari Whittenberger-Keith  Michelle Schoenecker
229-4062  229-2747
kariwk@uwm.edu  schoene7@uwm.edu

Proposal development services
• Find funding opportunities
• Interpret RFPs and reviewers’ comments
• Help develop competitive proposal strategy
  • Program
  • Agency (NIH vs NSF)
• Develop proposal templates
• Assist with large-scale, complex proposals
• Review and edit proposal sections
Working with Proposal Development Services

- 2-5 weeks before the proposal deadline
- Contact as early as possible – they assist faculty across UWM
  - Agency and program name, FOA number, and deadline
- Give them a head’s up several days prior to sending them a draft
- Send as many drafts as you need reviewed
Post Award Management

Grant Administrator

- Understand Sponsor Award Terms and conditions
  - Sponsor restrictions
  - Carryover
  - Change in scope of work
  - Rebudgeting
  - Reduction in key personnel effort

- Administrative and fiscal monitoring requirements
  - Annual progress report
  - Annual “Federal Financial Report” (FFR)
  - Final closeout reports
Post Award Management

Grant Administrator

• Award Set-up and management
  • Submit subaward requests and staff funding data forms and corrections as needed
  • Monitor and review charges to sponsored projects
  • Review for allowable, allocable and reasonable costs
  • Review and resolve any financial errors on budgets

• Closeout
  • Assist with a no cost extension, if needed
  • Meet with PI before the grant is over and discuss items of concern (i.e. cost-sharing, encumbrances, final reports and invention statements, etc.)
Post Award

Principal Investigator/Project Director

• The PI/PD will work with the GA to understand compliance with relevant policies and procedures established by the University, the Foundation and the award agency.

• Cooperate with IRB in terms of initial and continuing review, monitoring, record keeping and reporting.

• If the grant requires additional personnel, the PI/PD will work their HR assistants to complete the necessary paperwork to hire in accordance with the University’s policies.
Post Award

Principal Investigator/Project Director

- The PI/PD is responsible for the programmatic conduct and management of the project, for preparation of the required technical/progress reports.

- Provide members of the research team with sufficient information and training to facilitate protocol adherence.

- The PI/PD is responsible for completing their effort reports.

- The PI/PD is responsible for purchasing budgeted equipment and supplies, arranging for budgeted travel and conferences or meetings.

- The PI/PD will maintain all records for the project including all technical/progress reports.
Compliance

The Grant Administrator’s “oversight responsibilities” ensure compliance with funding agency regulations and standards.

Examples
• Effort Reporting
• Ensure Human/animal subject approvals have been submitted
• Cost-Sharing

Resource
• SOAR
  • Training and Education Programs (uwm.edu/socialwelfare/soar/)
• Office of Research
  • Research Compliance (uwm.edu/officeofresearch/osp/compliance/)
Resources

• **SOAR**
  
  [http://uwm.edu/socialwelfare/soar](http://uwm.edu/socialwelfare/soar)
  
  - Workshops
  - Resources

• **Office of Research**
  
  [http://uwm.edu/officeofresearch/](http://uwm.edu/officeofresearch/)
  
  - Budget Tool
  - Compliance
  - Research Dashboard

[https://uwm.edu/officeofresearch/osp-publications](https://uwm.edu/officeofresearch/osp-publications)

**Publications**
- OSP Newsletter
- Research Community Update
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<th>Name</th>
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<th>Email</th>
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QUESTIONS?