Research Administration Training and Education

Class #1

Introduction to Research Administration Infrastructure and Support at UK
UK Research Support Offices

• Office of Sponsored Projects Administration (OSPA)
• Office of Research Financial Services (RFS)
• Proposal Development Office (PDO)
• Office of Research Integrity (ORI)
• Office of Technology Commercialization (OTC)
Office of the Vice President for Research

• Resources for Researchers
  – FAQs on how to interact with research support offices
  – Lineup of Lunch & Learn series
  – Research Data and research portal access
  – Links to information on websites of research support offices
• Research Priorities Initiative
• Information about UK’s research centers, institutes and core facilities
• Announcements, events and news
University of Kentucky Research Foundation (UKRF)

- A not-for-profit Kentucky corporation, established in 1945 to receive, invest, and expend funds to promote and implement scientific, educational, and developmental activities at UK.

- Receives all external funds for sponsored projects and is responsible for compliance with all related rules and regulations

- Receives all intellectual property income and oversees the protection, development, and commercialization of intellectual properties

Remember: UKRF is the legal name used by the university in grant applications and on awards.
FY2021 UKRF Statistics

$468M Total Awards (9% increase over FY2020)

$281.2M Federal $108.5M State
$28.6M Industry $23.6M Nonprofits
$14.6M COVID-related

2,100 New Proposal Submitted
1,828 Awards Received
3,000 Active Sponsored Project Accounts Managed
Office of Sponsored Projects Administration (OSPA)

- OSPA Staff: Research Administrators (RA), Grant Program Coordinators, College Grants Officers (CGO), Administrative Assistants (AA), and Compliance Staff
- Provides proposal and award management assistance
- Is authorized institutional representative and signatory on proposals and awards
- Negotiates awards and legally accepts awards
- Processes budget revisions, prior approvals, changes in scope and award dates, and issues subaward agreements
- Serves as liaison between Principal Investigator (PI) and sponsor
- Manages Research Conflict of Interest (COI), Export Controls and Clinical Trial compliance
Examples of Pre-Award Assistance

- Review and interpret sponsor guidelines and provide guidance to PI
- Download proposal packets and complete financial and administrative components
- Initiate Internal Approval Form (IAF) and track its routing
- Ensure proposal complies with all UK business policies
- Prepare and/or review budget and budget justification
- Review cost share and confirm sources
- Assist with completion of Biosketch and Other Support
- Confirm investigator’s FCOI disclosures
- Review proposal for proper format and content
- Communicate and coordinate with OSPA Research Administrator (RA) re: proposal submission; Follow-up to ensure successful submission
- Upload proposal into Cayuse or other proposal submission system
Examples of Post-Award Assistance

- Provide troubleshooting and problem-solving support for all post-award grant accounting issues
- Monitor grant expenditures for compliance with sponsor and university guidelines and provide guidance about related adjustments or actions
- Ensure faculty effort is documented and charged properly

- Assist PI or department business officer with revisions to budget and corresponding justification
- Assist PI or department business officer with CAS issues (i.e., allowable costs)
- Help resolve issues with cost share accounts, both expenses and funding
- Provide guidance and referrals for PI’s questions about spending funds and/or revising project’s scope and timeline, personnel or budget
College Grant Officer (CGO)
More Examples of Post-Award Assistance

- Compare salary savings reports against grant budgets
- Review Dean’s disallowed CAS items and Dean’s overrun accounts when requested
- Work with Departments to be sure the yearly enrichment report is accurate
- Assist Department business officer with explanation on JVs when expenditures must be moved either on or off a grant
- Maintain individual award files for College reference
- Review accounts prior to final close-out by Research Financial Services (RFS)

NOTE – Specific pre- and post-award duties of CGO may vary depending on specific needs of constituency/college assignment.
Research Administrator (RA)
Examples of Proposal Assistance

- Review final budget to ensure accuracy and compliance with sponsor and university policies
  - Ensure only allowable costs are included in budget and justified properly, correct indirect costs are applied, and costs adhere to any sponsor restrictions/guidelines
- Confirm all forms and proposal components follow sponsor guidelines and are ready for submission
- Confirm compliance approvals (e.g., IRB, IACUC, COI)
- Submit proposal through Cayuse or sponsor’s proposal system
- Review and correct errors in conjunction with the PI
Research Administrator (RA)
Examples of Post-Award Assistance

- Review award terms and conditions and negotiate changes with sponsor
- Obtains institutional signatures on awards and other documents
- Prepare e-transfer to SAP for award account setups and revise account for award modifications
- Serve as institutional liaison with sponsor for prior approvals, and other administrative changes to awards
- Do final review and processing of budget revisions, time extensions and other post-award actions
- Collaborate with RFS Financial Administrator when questions arise about project expenses or final financial reports
- Serves as primary resource for PI and college/department staff for questions about allowability of budget revisions, changes in project personnel, and other post-award actions
OSPA administers extramural grants and contracts awarded through the University of Kentucky Research Foundation. Services available to University faculty and staff include: advice and assistance with budget preparation and other administrative requirements of proposals; review, negotiation and acceptance of awards; information regarding sponsor policies and regulations; preparation of subcontract documents.
Examples of Resources on OSPA’s Website

- Quick Links
- Announcements of new sponsor policy/guidance
- Find your CGO or RA
- Proposal Guidance
  - Proposal prep checklist
  - IAF instructions
  - Information on developing a budget
- Frequently-needed institutional data
- Forms and templates
- Guidance on subawards
- Electronic Resources
  - Access to electronic systems (e.g., Cayuse)

- Project Management Guidelines
  - Federal costing rules
  - Faculty effort on sponsored projects
  - Cost transfers
  - Budget revisions
  - Compensation to research subjects

- Policies and Procedures
  - Clinical Trials and CT.gov
  - Conflict of Interest
  - Internal Proposal Deadlines
  - Export Controls
  - F&A Waivers
  - Federal Uniform Guidance
  - Industry Sponsored Agreement
Contact Info for OSPA

• 109 Kinkead Hall  Main Office Phone: 859-257-9420

• Main Email Address:  ospa@uky.edu

• Constituency Assignments for OSPA staff:  
  https://www.research.uky.edu/office-sponsored-projects-administration/ospa-staff

• Executive Director:  Kim C. Carter  kccarter.1@uky.edu

• Associate Directors:
  • David Erem (contracts team staff)  dlerem1@email.uky.edu
  • Rhonda Hagan (CGO staff)  rhagan@email.uky.edu
  • Mary Hickman (RA and other OSPA staff)  mhick2@uky.edu
Research Financial Services (RFS)

- Responsible for accounting and financial reporting
- Manages most sponsored projects information in SAP
- Coordinates audits of sponsored projects
- Office reports to the Controller, not the VPR
- Financial Administrator (FA) – assigned to each account
RFS Responsibilities

- Prepare and submit invoices to sponsors for reimbursement of expenditures
- Prepare and submit financial reports to sponsors
- Collect information and report cost share expenditures to sponsors
- Review all cost transfers to/from WBS Elements in SAP
- Assist PIs and college business officers in processing cost transfers
More RFS Responsibilities

• Provide guidance regarding corrective actions needed on expenditures
• Provide guidance and information on management of mandatory cost sharing
• Review UK Service and Recharge Center Charges
• Maintain database of accounts receivable
• Review all departmental check transmittals depositing funds to sponsored project accounts
More RFS Responsibilities

- Receive and process payments from sponsors
- Prepare letter of credit reimbursement requests
- Prepare and negotiate UK’s Indirect Cost Proposal
- Manage and serve as resource for Payroll Confirmation System
- Prepare Annual Report of Federal Expenditures
- Serve as institutional representative for all audits of sponsored projects
Managing the research funding of a large organization such as the University of Kentucky requires coordination among many individuals, both inside and outside of the university hierarchy. Research Financial Services is an integral part of that endeavor, overseeing the financial reporting and compliance requirements of all externally sponsored projects. Our primary goal is to facilitate the management of funds provided to the university by outside entities, in compliance with relevant guidelines, for the purpose of continuing research.

The receipt of externally sponsored funds comes with an expectation of compliance with various guidelines, rules and regulatory requirements surrounding the use of the funds. We welcome the opportunity to collaborate with our campus partners and external sponsors alike as we strive to shape a culture of compliance, supporting our university research community in meeting those expectations.

Research Financial Services prepares institutional reporting information for varying external organizations beyond sponsoring agencies. Some examples include, but are not limited to, the Schedule of Expenditures of Federal Awards (SEFA) and Single Audit report; Homeland Security Grant Funding SEFA 7 report; Biomedical Research & Development Price Index (NIH) survey; and the Higher Education Research and Development Survey (HERD/NSF). Our office also prepares and submits the Facilities and Administrate Rate calculation to the Department of Health and Human Services (DHHS) Cost Allocation Services (CAS) to establish the approved Facilities and Administrative rates allowable on sponsored projects.

Our organization is defined by specialty area to provide optimal support and expertise in the diverse areas surrounding the financial management of sponsored projects.

We thank you for taking the time to visit our website and look forward to working with you!

https://www.uky.edu/ufs/research-financial-services
Resources on RFS’s Website

- FAQs on PI sponsored project reports
- Roles and Responsibilities matrix
- BudRule Cross Walk
- T-Code resources
- Uniform Guidance resources
Contact Info for RFS

• 337 Peterson Service Building  Main Office Line: 859-257-3662

• To find the FA who handles a specific account:
  • Look in field 4 of the PADR, the ZGM_LOOKUP screen in SAP or the Responsibilities tab on the GMGRANTD screen in SAP

• Directors:
  – Paige Goodlett-Brown ppbrow2@email.uku.edu
  – Erin Wallet ekwall0@email.uky.edu
Proposal Development Office (PDO)

- Locate funding opportunities
- Assist with proposal planning; provide samples of funded proposals
- Assist in proposal preparation, review and critique drafts; provide consultation for resubmissions
- Write proposal sections where appropriate (e.g., institutional descriptions)
- Link researchers with others on campus doing similar work for collaborative efforts
- Provide descriptive material on UK resources
- Conduct grant-related training/workshops
- Distribute information on extramural funding opportunities through the *Grants Bulletin*
Resources on PDO’s Website

- Funding Opportunities
  - Internal Research Support Programs
  - Funding Alert Mailing List Subscription
  - Pivot Funding Database
- Limited Submissions
- Proposal Resources
  - Facilities Description Library
  - Institutional Letters of Support Process
  - Rigor and Reproducibility Resources
  - Research Glossary
  - NIH Sample Applications
- Announcements and Events
Contact Info for PDO

- 501 M.I. King Library  Main Phone: 859-257-2861

- Main email address: pdo@uky.edu

- Director: Kathy Grzech kathy.grzech@uky.edu
- Associate Director: Barbara Duncan barb.duncan@uky.edu
Office of Research Integrity (ORI)

- ORI review committees: four Medical and one Nonmedical Institutional Review Board (IRB), the Institutional Animal Care and Use Committee (IACUC), and the Radioactive Drug Research Committee (RDRC)

- ORI also supports the institution in promoting ethical conduct of research and educating UK students and employees regarding research misconduct regulations, data ownership, and animal care regulations
Office of Research Integrity
TRANSFORMING TOMORROW by Promoting Ethical Research

Researchers
Find tools, checklists, E-IRB video tutorials and FAQs to help navigate the IRB review process.
Learn More

IRB Members
Find IRB reviewer checklists, guidance, IRB Rosters, IRB meeting dates, etc.
Learn More

Participants
What to consider before you agree to participate in a research study and other resources.
Learn More

Subscribe to the UK ORI/IRB Listserv

Current News & Announcements

https://www.research.uky.edu/office-research-integrity
Resources on ORI’s Website

- Log-n for E-IRB
- Tools, checklists, e-IRB checklists and FAQs
- Responsible Conduct of Research and Scholarly Activity (RCR) information and training
- Research Misconduct information and hotline
- Current news and announcements
- Request for a one-on-one consultation
Contact Info for ORI

- 405 Kinkead Hall    Main Phone: 859-257-9428

- Main email address: rs_ORI@uky.edu

- ORI Staff Listing: https://www.research.uky.edu/office-research-integrity/contact-us

- Director: Helene Lake-Bullock helene.lake-bullock@uky.edu
- Associate Director: Pam Stafford pastaf3@uky.edu
Office of Technology Commercialization (OTC)

- Supports UK's strategic plan by committing to:
  - help build Kentucky's innovation ecosystem and collaborate with industry partners worldwide
  - work cooperatively with innovators to strategically assess, protect, and license early-stage technologies
  - to cultivate entrepreneurship and co-create new technology startups
- Provides guidance on submitting an invention and/or starting a company
- Handles Material Transfer Agreements (MTA), Nondisclosure Agreements (NDA) and Data Use Agreements (DUA)
- Aids industry partners in collaborating with UK researchers
ANNOUNCING UK INNOVATE

A new umbrella, called UK Innovate, has been created under the Vice President of Research. Ian McClure, associate vice president for research, innovation and economic impact will be developing and overseeing UK Innovate.
Resources on OTC’s Website

- OTC Annual Report including
  - Number of inventions
  - Gross royalty income
  - Patent applications
  - Licenses and options
- OTC video library
- UK Innovate newsletter subscription
- Copies of administrative regulations and policies related to technology commercialization, conflict of interest, patent and license administration, and royalty distribution
- Announcements
- Success stories
Contact Info for OTC

- 141 ASTeCC Building   Main Phone: 859-323-4241

- Main email address:  OTCinfo@uky.edu

- OTC Staff Listing:  https://www.research.uky.edu/office-technology-commercialization/who-we-are

- Director:  Taunya Phillips  taunya.phillips@uky.edu

- Associate Director:  Eric Castlen  eric.castlen@uky.edu
Other classes in the CATSPro training series discuss topics related to the Lifecycle of a Sponsored Project.