Roles and Responsibilities: How to Assess and Create Clarity

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California Institute of Technology

- Founded 1891
- Non-profit, private institution of higher education
- Operates under a Board of Trustees
- Employees: 3,500
- Undergraduates: 987
- Graduates: 1,410
- Faculty: 300
- Annual Research Funding: $423.5M
- Annual Proposals Submitted: 1,196

University of Florida

- Public, Land-grant University
  - 16 Colleges and 2 Museums
  - Extension services in all 67 counties and through 14 Research & Education Centers
  - Biomedical research and clinical operations across the state
- Undergraduates: 39,338
- Graduates: 18,441
- Faculty: 5,371
- Workforce: 29,876
- Annual Research Funding: $1.076B

University of Virginia

Non-profit, state funded, public institution of higher education
- Founded 1819 by Thomas Jefferson
- Operates under the Board of Visitors (17 members appointed by the Governor of the Commonwealth of Virginia)
- 12 schools (including School of Medicine) plus College at Wise, 3 Institutes
- Faculty and Staff: 17,400
  - Staff (full time): 6,500
  - Faculty (full time): 3,000
- Undergraduate students: 17,000
- Graduates & professional students: 8,700
- Annual (FY 22) Research Proposals 2,519; Awards Received: $450M

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What is the value of well-defined roles and responsibilities in Pre-Award?

Poll 1: Pre-Award Management

Do you work in a central/core office?

Yes/No

Poll 2: Pre-Award Management

Has your institution delegated proposal submission functions outside the core/central office? (RADIO BUTTON)

- All departments have delegated submission authority (no central submission)
- Departments can submit certain proposals (sponsors/system)
- Some departments have delegated submission authority
- No delegation of submission outside central preaward office
- Other

University of Virginia

Research Administration Organization: **Pre-Award**

- Central-Office of Sponsored Programs, reporting to Vice President of Research
  - Pre-award (Grants): proposal review/submission, award negotiation; account setup; post-award non-financial amendments, prior-approval requests
  - Contracts: Non-funded agreements (MOUs, DUAs, NDAs, etc.), negotiation and acceptance of all funded agreements including industry funded clinical trials
- Departmental-Research Administration Offices (large schools & research centers have pre and post award operational areas)
  - Proposal preparation, budgeting, day-to-day award management
  - Proposal submission authorities delegated under mutually consented partnering agreements (MOUs) to some large schools
  - No award acceptance authority to the departmental RAOs

Caltech

Pre-Award Research Administration

- Central Pre-award Office
  - Proposal review/submission, award negotiation; award execution; sponsor system user accounts; new sponsor onboarding (both directions)
- Departments
  - proposal/budget preparation, revised budgets; subaward proposals.

- No proposal submission authorities delegated to departments

University of Florida

Pre-award Research Administration

- Central Office (DSP) submits all proposals and signs all research related agreements
- Formal delegation of authority to all DSP signature authorities from the President
- No submission authority delegated to department
- Centrally hosted 424 submission tool integrated with grants budgeting tool
- 1700 different *active* sponsors

University of Florida

With proposal system redesign in FY2016, ensured reduction in "signatures".

- Too many approvals mean ***no accountability***
- ***Assume the next person in the chain will catch any errors.***
- Replaced some signatures with email notifications

University of Florida

Pre-award Research Administration

- Various campus structures (shared service centers, grants cores, College Research Offices, department Research Administrators) support proposal & budget preparation

- Variable infrastructures and support across the geographically and disciplinary breadth has kept many functions central

- Documented Roles & Responsibilities: Proposal Review Matrix: https://research.ufl.edu/wp-content/uploads/Proposal-Review-Matrix.pdf

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	PI	Unit	DSP	Review Area
				Guidelines
1	x			Identify funding opportunities that are appropriate for the project.
2		x		Verify that the correct opportunity or solicitation is identified and selected in UFIRST.
3			X	Confirm that the selected opportunity or solicitation matches the proposal.
4		x		If sponsor requires individual login to their electronic system for proposal submission or award management, register for individual account as appropriate (see: http://research.ufl.edu/dsp/proposals/other-eproposal-systems.html). Some systems require that account registration be done solely by PI.
5			x	If sponsor requires an institutional level account for their electronic system for submission or award management, verify that UF holds an account or establish an account as appropriate.
6		x (Chair)		Ensure intended project area is appropriate for the mission or strategy of the PI and their responsibilities within their department and college.
7		x		If guidelines have limitations on the types of organizations that can apply for funding, verify that UF as an institution is eligible (ie. must be a 501(c)3 or institution of higher education or similar restriction).
8			x	Validate documentation of UF eligibility when guidelines have limitations on the types of organizations that can apply for funding.
9		x		If Institution *must* hold IRS 501(c)3 status to be eligible to submit, assist with routing proposal documents to UF Foundation.
10			x	DSP confirm need to route to UF Foundation due to IRS 501(c)3 status requirement.
11	x			If guidelines have special provisions related to individuals who can work on the project, verify the PI and any project staff or students are eligible (i.e. specific citizenship status, Early-Career status, student GPA required, etc.).

University of Florida

How do we support and maintain the expectations/model?

- Mainspring Training Program: https://learn-and-grow.hr.ufl.edu/toolkits-resource-center/mainspring/

- Track proposal returns and rework with the departments using our electronic routing tool

What is the value of well-defined roles and responsibilities in Post-Award?

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Poll 3: Post Award Financial

– Has your institution delegated post award financial functions outside the core/central office? (Check all that apply)
  - Processing of budget amendments
  - Posting of cost transfers
  - Invoicing
  - Financial reporting
  - Audit responses & hosting site visits
  - Other
  - None

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Poll 4: Post Award Non-Financial

- Has your institution delegated post award non-financial functions outside the core/central office? (Check all that apply)
  - Prior approvals when sponsor has delegated to the institution (first time NCE, pre-award spending, budget transfers)
  - Submission of prior approval requests to sponsors when necessary
  - Submission of NIH RPPRs
  - Submission of closeout and other progress reports
  - Issuance of subawards
  - Other
  - None

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UVA Post Award Roles in the Financial System

UVA OSP Post Award

1. OSP Sponsored Programs Managers (Director and Assistant Directors of OSP Post Award)
2. OSP Post Award Grant Managers
3. OSP Post Award Analysts
4. OSP Financial Compliance
5. OSP Cash Management Specialists

UVA Departmental Post Award

1. Cost Center Sponsored Programs Managers (Director of Departmental Research Admin)
2. Departmental Grant Managers
3. Departmental Grant Financial Analysts
4. Departmental Grant Account Certifiers
5. Departmental Award Analysts

UVA Central OSP Post Award Responsibilities

Financial (Post Award Team)

- Review and approve budget amendments
- Process LC draws, invoice sponsors, apply cash (includes clinical trial cash management)
- Submit federal & non-federal financial reports
- Review and approve cost transfers
- Oversee financial compliance (payroll distribution confirmation, subaward financial management, questionable costs reports, compliance with salary cap)
- Coordinate internal and external financial audits (Single Audit, site visits, investigations)

Non-financial (Pre Award Team)

- Create financial expenditure accounts for awards and outgoing subawards
- Distribute budgets to different cost centers
- Process actions where prior approvals from sponsors delegated to the institution (first time no cost extension, pre-award spending, budget transfers)
- Submission of prior approval requests to sponsors (PI transfer, new subawards, change in scope of work, etc.)

UVA Departmental Post Award Responsibilities

Financial

- Initiate budget amendments
- Initiate and approve expense reimbursements, requisitions, student payments
- Submit E/CRFs and invoices for invoiceable items for clinical trials
- Respond to OSP Post Award's request for final closeout actions
- Initiate cost transfers, submit justifications when required
- Assist PIs with financial compliance (payroll distribution confirmation, monthly account certification, reviewing subaward invoices, allocation of payroll for research personnel)

Non-financial

- Initiate institutional approval requests for pre-award spending approval, first time no cost extension, budget transfers, issuance of subawards
- Initiate sponsor prior approval requests for PI transfers, unbudgeted subawards, changes in scope of work, etc.
- Respond to Fixed Assets group for identifying locations of capital equipment
- Retain supporting documentation for transactions per record retention schedules

UF Post Award

Nearly identical Postaward model to UVA:

1. Central Postaward does all financial reporting
2. Central Non-financial Postaward (Sponsored Programs not Accounting) does all prior approval requests and subawards
3. Campus support teams initiate transactions and reconcile/monitor

Finance & Accounting Procedures and Directives - Controller

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Post-Award Research Administration
- Central Pre-award Office
  - Account setup, distribution of award documents, submit sponsor-required prior approvals, implement sponsor-delegated approvals
- Central Post-Award Office
  - Financial reporting, accounts receivable, cost-transfers, cost allowability, external audits, manage payroll distribution confirmation
- Central Purchasing: Issuance/management of subawards
- Departments
  - daily award management, budget reconciliation, initiate cost-transfers, and requests for sponsor approval; technical reports;
  - No proposal submission authorities delegated to departments

UVA Research Administration

Research Administration Training:

- Overview of research administration at UVA
- CRA prep classes, extensive training with multiple sessions
- Ad hoc sessions on special handling topics
- All central Postaward team must go through COSO certification

UVA Research Administration

Current environment

- BoV and senior leaderships' interest in maintaining integrity and compliance
- Policy Review Board (PRB) manages all policies
- Systems, processes and people appropriately aligned in theory
- State mandated internal control structure is used for accountability
  - Well defined system roles are created based on business needs
  - security access requests submitted through central HR, requires mandatory training
- Stakeholder engagement-Research Admin Improvement Team (RAIT)

Gaps to overcome

- Maintenance of policies & procedures
- Lack of communication channels within the central units and the departments
- Stakeholder engagement often stops with RAIT
- Lacking commitments in attracting, training and retaining competent research administrators
- Unprepared for handling increased demands & complexities associated with sponsor requirements

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Caltech Roles & Responsibilities

- Few formal delegations of authority; rely on job descriptions for signature authority to outside entities

- Use control-point confirmations for system access.

- Not as many business rules built into applications – once trained, people are expected to know their responsibilities and limitations of their authority

UF Roles & Responsibilities

- Due to size and breadth, strongly leverage the financial systems' roles, security and permissions to manage
  - Over architected?

- OPEN reporting architecture so don't need approvals to "be in the know" which has improved reduction of approval steps over time

Q&A

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