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Surviving and Thriving During the Research Years
July 2017

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Agenda

Part I: NIH structure & behind the scenes at a study section (Tom Hawn)

Part II: Introduction to Research Administration

Part III: Training and Career Development Awards (Sheila Lukehart)
Provide a very brief overview of the grant proposal submission and award management process

Identify key players and introduce terminology

Identify additional learning resources
Key Players

- Principal Investigator
- Mentor/Mentoring committee
- Division (Department) administrative staff
- Department and School reviewers
- UW ‘central’ offices
- Funding sponsors (not just NIH)
The Challenge
Before you get started – think about the timeline
Before you get started

• Discuss your plans and timeline with your Mentor

• **Thoroughly read** the program announcement and application guidelines (**more than once**)

• All grant proposals have **both** scientific and administrative components

• Fellowship and Career Awards have additional requirements

• Proposal regulations are complex and need to align with UW guidelines and timelines
Before you get started

- Are you eligible? Is the timing right?
- Special resources or commitments?
- Specific titles or appointment status?
- Letters of reference or institutional support required?
- Do Sponsor policies align with UW policies?
Fellows are allowed to apply for mentored fellowship grants and transitional grants leading to independence (career development awards) only.

Pure research proposals are restricted to individuals with faculty appointments.
NIH funding mechanism progression
Principal Investigator/Mentor Responsibilities

• **Mentor is listed as PI in UW systems**
• **Fellow is listed as PI on sponsor forms**

This pair is responsible for:

• Alerting Division staff of submission plans
• Understanding application guidelines/requirements
• Establishing timelines and assignments with other advisors, collaborators, reviewers and staff
Division administrative staff typically assist with the following:

• Budget development and sponsor form completion

• Completion of UW internal review transmittal form (eGC1)

• “Translating ” grant-speak

• Assistance with award processing and ongoing management
Reminders and Helpful Hints...

✓ Remember that most staff are assisting multiple investigators
✓ Take care of the administrative details early to minimize distractions when finalizing scientific component
✓ Ask for clarification if needed
An internal (UW) review is conducted of all proposals prior to submission to the sponsor by a minimum of four offices:

- Division
- Department of Medicine
- School of Medicine
- UW Office of Sponsored Programs
SAGE and the eGC1

SAGE is the web-based system used to route documents for review.

The eGC1 is the form within SAGE.
Internal (UW) reviewers assess:

- Budgetary and form content accuracy
- Effort, space, or resource commitments
- Overall institutional commitments
- Compliance requirements
**UW Policy**

**7+ business days:**
- All final administrative components and draft “science” received by OSP

**3+ business days:**
- Final proposal in complete & final format
- Status = received and READY TO SUBMIT by OSP by 5 pm

**<3 business days:**
- Any application received by OSP after 5pm three business days before the sponsor deadline will not be reviewed and will be sent back to the PI/Dept
UW Policy – READY TO SUBMIT (RTS)

3+ business days *(best practice is 5-7 days):*

- Final proposal in complete & final format
- Status = received and **READY TO SUBMIT** at OSP by 5 pm

Proposals marked as RTS cannot be withdrawn from the review stream.

RTS proposals will only be returned for correction of system generated errors or upload errors.
Budget Development and Use

• Award funding is split between **DIRECT** and **INDIRECT** monies

• **DIRECT** funding supports the costs of performing the research (e.g., salaries, benefits, supplies)

• **INDIRECT** funding supports the UW’s ‘overhead’ – known as the **facilities** and **administration** needed to manage the process
Direct costs are those *allowable* costs associated with direct performance of the project

- Salary and Benefits (figure this out first)
- Personal Services (e.g., consulting services, subject payments)
- Other Services (e.g., animal purchase, core research services)
- Travel
- Supplies (e.g., disposable items and minor equipment)
- Equipment
- Tuition and Fees

Plus Facilities and Administration (indirect)costs = Total Costs of the proposal
• Sponsor language is not always clear

• F & A costs must be charged when allowable

• Healthcare benefits are charged in addition to salary

• Benefit rates are adjusted annually and charged based on current agreement and job title
## Budget Development

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<th>Total Costs Available</th>
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<td>Reduce for F &amp; A allowed (10%)</td>
<td>50,000/1.1 ($4,545)</td>
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<td>Reduce for health benefits (27%)</td>
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<tr>
<td>Amount available for salary support</td>
<td>$35,791</td>
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**OF NOTE:**
27% benefit rate based on job title and benefit rates in effect at time of submission, current rates applied at time of award. Are budgetary adjustments necessary at time of award?
Budget Development

• Effort cannot exceed 100% for all activities

• Many awards require 75% effort but do not provide enough funding to pay 75% of an Assistant Professor salary
  – *How will this gap be funded?*

• Confirm when effort must be accounted for separately and when overlap may occur
The Office of Sponsored Programs (OSP) is the authorized agent for the UW

- Performs the FINAL review of proposals to ensure UW policies and application requirements are met
- Authorizes submission (or submits)
- Receives, accepts and negotiates awards made to the UW
Compliance and Award Process

Most award sponsors will require proof of compliance prior to award activation.

This documentation process is referred to as “Just in Time”.

JIT and award information requests require immediate action.

Don’t hold on to these requests.
Examples of requested documentation

- IRB
- IACUC
- Hazardous Materials usage
- Confirmation of appointment status
- Training in the protection of human research subjects
- Financial conflict of interest reporting and resolution
IRB and IACUC Protocols

- Protocols are ‘stand alone’

- Each funding source needs to be linked with the approved protocol using a modification process

- Reviewers at HSD and OAW will look for associations between the proposed work and the existing protocol
✓ PI/staff need to make the link between existing compliance approvals and new funding source.

✓ Understand that an award will not be activated if compliance requirements are not met – be proactive.
Grant and Contract Accounting (GCA) facilitates the financial management aspects of an award

- Provides high level oversight of all expenditures
- Assigns budget numbers and handles sponsor payments
- Coordinates financial reporting to the sponsor (technical reports are submitted via OSP)
PI is responsible for ensuring that all expenditures are:

- Consistent (with the aims of the proposal)
- Allowable (by the sponsor and the UW)
- Reasonable (you bought your airfare when?)
- Allocable (assigned the right percentage)
Will your proposal include activity outside the U.S.?

- Become familiar with the Global Operations Support Office
  - [http://f2.washington.edu/fm/globalsupport/](http://f2.washington.edu/fm/globalsupport/)
  - [http://www.washington.edu/research/?page=ecr](http://www.washington.edu/research/?page=ecr)

Will your proposal include clinical research conducted within UW Medicine?

- Become familiar with the Clinical Research Budget and Billing Office
  - [http://www.uwmedicine.org/research/research-trials/crbb](http://www.uwmedicine.org/research/research-trials/crbb)
Resources

UW Medicine Research homepage
http://www.uwmedicine.org/research

UW Research Required Training Homepage
http://www.washington.edu/research/compliance/required-training/

Collaborative for Research Education
http://www.washington.edu/research/learning/