Goals for Today’s Workshop: Basic Understanding of conducting research at UW

❖ What is sponsored research?

❖ Project Lifecycle & UW systems

❖ Additional Resources & Training
Goals for Today’s Workshop: Basic Understanding of conducting research at UW

- What is sponsored research?
Sponsored Research Project

As stated in Grants Information Memo 34

A University sponsored project is not a purchase or sale of goods or services or “work for hire” arrangement but instead is a mutual exchange involving the University and a sponsor. Sponsors may provide funding, equipment or other tangible items, such as goods or services, for research, training, education programs, analytical services or other rights or goods.

Office of Sponsored Programs reviews and processes sponsored projects and serves as the ONLY authorized body that can negotiate agreements with a sponsor.
External Support as a Gift

As stated in Grants Information Memo 34

A gift is the voluntary contribution of external support by a donor to the University, without any requirement for receipt of any economic or other tangible benefit in return beyond what any general member of the public would receive. The contributor of a gift is referred to as the "donor" and the donor’s intent must be philanthropic or charitable. The primary beneficiary of a gift is the general public and not the donor.

UW Advancement Office reviews and processes gifts.
Goals for Today’s Workshop: Basic Understanding of conducting research at UW

- Project Lifecycle & UW systems that support it
My Research Lifecycle

CLOSEOUT
Final financial and research reporting, dissemination of data, and records retention.

PLAN / PROPOSE
From the development of a sponsored research project to final proposal submission.

MANAGE
Managing award funds, reporting, and post-award changes.

SETUP
Setting up the infrastructure for successful management of your award.

MyResearch Project Lifecycle

SAGE
SAGE: System to Administer Grants Electronically

- **SAGE** supports our internal routing process for all documents that require OSP review including proposals, after the fact agreements, unfunded research agreements, and non-disclosure agreements.

- It is the *file system of record* for ALL documents related to a proposal and award.
  - All proposals have a corresponding GC1 number (ie. file) where you can find:
    - Details of initial proposal submission
    - Copy of the *Final* submitted proposal and budget
    - Department, Campus, and OSP approvals
    - OSP correspondence with PI and Sponsor
    - Compliance questions and documentation
    - Award documentation
My Research Portal: one stop viewing of your sponsored research portfolio

- Personalized Dashboard: View all eGC1s, awards and related items associated to you.
- Status Visibility: Real-time progress and status changes, and history
- Important Award Comments: See OSP and GCA's comments that will inform you of compliance and fiscal information changes
- Contact Information
PI is responsible to address all compliance issues including financial management as project is ready to launch.
Set Up Phase

Office of Sponsored Programs (in coordination with PI and department) will review and negotiate federal and non-federal contracts with terms and conditions that relate to:

- Publishing
- Confidentiality
- Intellectual Property (IP)
- Final Deliverables (including reports)
- Start and End dates
- Final budget revisions that reflect current rates (vs. those used at the time proposal was developed)
- Equipment ownership

Remember - OSP is the ONLY authorized body that can sign a sponsor agreement.
Set Up Phase

Common Compliance areas that need to be addressed by PI during project set-up phase:

- Human Subjects approval (IRB)
- Animal Care approval (IAUCUC)
- Final budget revisions toward receipt of Funding Action
- Update financial conflict of interest (FCOI)
- Data Collection and Security
Dually signed contract in OSP – Ready for Budget Set Up!

Budget Set up – Roles and Responsibilities

**OSP**
- Funding Action (FA)

**GCA**
- Funding Action (FA)
- Budget Number
- Notify Department

**Department**
- Review
- Manage
- Stay in compliance
# Electronic Funding Action Receipt

<table>
<thead>
<tr>
<th>Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funding Action number: FA152774</td>
</tr>
<tr>
<td>Group/Team: GCA Team 4</td>
</tr>
<tr>
<td>Prepared by: Lisa Guerrero (OSP)</td>
</tr>
<tr>
<td>Approved by: Lisa Guerrero (OSP)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Account Setup Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorized action: New</td>
</tr>
<tr>
<td>Type of award: Grant - Research: Basic</td>
</tr>
<tr>
<td>Payment type: Letter of Credit</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>General Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Parent item number: A130654</td>
</tr>
<tr>
<td>Prior budget number: 61-3-407</td>
</tr>
<tr>
<td>Current budget number:</td>
</tr>
<tr>
<td>Full application title: Intelligent deployment of containerized bioinformatics workflows on the cloud</td>
</tr>
<tr>
<td>Short title: BIOINF weaponry WORKFLOWS</td>
</tr>
<tr>
<td>Principal Investigator: Ka Yee Yeung-Rhee (EID 868-008-951)</td>
</tr>
<tr>
<td>Org code receiving funding: T-INSTIUTE OF TECH (63500001000)</td>
</tr>
<tr>
<td>Sponsor: National Institutes of Health (NIH)</td>
</tr>
<tr>
<td>Sponsor type: Federal Government</td>
</tr>
<tr>
<td>Sponsor award number: R01GM126019-01</td>
</tr>
<tr>
<td>CFDA number (if applicable): 91.859</td>
</tr>
<tr>
<td>Flow through funding: No</td>
</tr>
<tr>
<td>Flow through sponsor:</td>
</tr>
<tr>
<td>Flow through sponsor type:</td>
</tr>
<tr>
<td>Equipment accountability: None</td>
</tr>
<tr>
<td>GCA flags: Admin Costs Allowed, Expanded Authority, Funding Restrictions, SNAP</td>
</tr>
</tbody>
</table>

OSP: [http://www.washington.edu/research/osp/contact.html](http://www.washington.edu/research/osp/contact.html)  
GCA: GCA Team 4  
osp@u.washington.edu  
gcahelp@uw.edu  
206-543-4043  
206-616-9995  
Page 1 of 2
Electronic Funding Action Receipt

Budget Information

Budget details location: eFA Attachments

Current project period: Start: 2/1/2018  End: 1/31/2021

Current amount awarded: $356,646.00

Non-monetary award:

Facilities & Administration (F&A):
F&A rate: 55.00%
Base type: Modified Total Direct Cost (MTDC)
Rate location: On Campus Rate

Cost sharing: No

Total cost sharing amount:

Invoicing and Reporting

Invoicing required: No

Invoicing details:

Final invoice:

Fiscal reporting: Yes

Reporting details: This award requires final financial report.

Frequency of report:

Final report: Due within 90 days

Comments

OSP comments: Unobligated balance may be carried over into the next budget period without Grants Management Office prior approval. 01 $121,591 03 $8,950 03-62 $65,941 04 $5,156 07 $33,270 08 $17,652 25 $103,986

GCA comments: The F&A rate changes from 55% to 55.5% effective 07/01/2018.
My Research Lifecycle: Manage

CLOSEOUT
Final financial and research reporting, dissemination of data, and records retention.

PLAN / PROPOSE
From the development of a sponsored research project to final proposal submission.

MANAGE
Managing award funds, reporting, and post-award changes.

SETUP
Setting up the infrastructure for successful management of your award.

My Financial Desktop
Grant Tracker
ZipLine, HoverBoard
Post Award COMPLIANCE

◆ As a PI of an award, you are the *steward* NOT the *owner* of the funds

◆ It is important to always remember that financial resources are entrusted to UW for use in research, instruction, and public service

◆ Management of the resources must be able to withstand public scrutiny
Award Compliance

◆ For more information
Research Compliance Webpages
My Research Lifecycle: Close Out

CLOSEOUT
Final financial and research reporting, dissemination of data, and records retention.

PLAN / PROPOSE
From the development of a sponsored research project to final proposal submission.

MANAGE
Managing award funds, reporting, and post-award changes.

SETUP
Setting up the infrastructure for successful management of your award.

My Financial Desktop
Grant Tracker
Requesting a **No Cost Extension (NCE)**

- Request only if more time is needed to complete the project.
- Audit risk if used as a means of “buying time” to spend unexpended funds.
- Review award/sponsor regulations for NCE timing and submission requirements.
- If you are unsure if this is allowable after reading through your award document, talk to your sponsor.
- **ALL** no cost extension requests must be submitted using the [Budget Extension Request Form](#).
Close out – End of Award

An award is completed and can be closed when
- Award end date has passed
- Scope of work completed
- Funds expended
- All expenses deemed allowable by department (and PI) with final budget reconciliations completed in My FD
- All deliverables & reports submitted to sponsor
- Cost share met & recorded in cost share system (as appropriate)

Close out procedures completed in collaboration with Grant and Contract Accounting (GCA) via Grant Tracker and with your sponsor directly (ie. final reporting)
Close Out Resources

GCA Closing Budgets

GIM 39 Closeout of Sponsored Programs
Goals for Today’s Workshop: Basic Understanding of conducting research at UW

- Resources & Training
UW Research Administration
Resources and Training

- Faculty Grants Management
  - REQUIRED for all new PIs and 4-year re-fresher
  - Offered once/quarter with next training on May 10 at 1pm

- Research Required Trainings

- Research Administration Tools

- Research Administration and Compliance Training

- Grants Information Memoranda (GIMs)
QUESTIONS???

THANK YOU!!!