The **Who, What, When, Where & Why** of OSRAA!

November, 2017

Office for Sponsored Research and Award Administration

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Sandy Cobb - Associate Director, Cash & Financial Management (CFM)
Aedra McCarthy - Associate Director, Award Compliance & Education (ACE)
Today’s Agenda

- Introductions
- Announcements
- OSRAA Organizational Information
- Proposal and Award Management (PAM) Overview
- Cash and Financial Management (CFM) Overview
- Award Compliance and Education (ACE) Overview
- Q&A
OSRAA - who are we?

► **3 Functional Units** - Located in suites 306 & B308 of Kerr Administration Bldg.
  ► Award Compliance and Education (ACE)
  ► Cash and Financial Management (CFM)
  ► Proposal and Award Management (PAM)

► **31 Staff**
  ► Asst. Vice President
  ► Research Program Operations Officer *(on special detail to CEOAS for RCRV & Ship Operations)*
  ► Business Systems Analyst
  ► Administrative Program Specialist
  ► ACE - 2 staff
  ► CFM - 9 staff *(includes 3 Grant Accountant teams: O-S-U)*
  ► PAM - 16 staff *(includes 3 Project Life Cycle teams: A-B-C)*
OSRAA Organizational Information

OSRAA Staff & Unit Function Information: http://research.oregonstate.edu/osraa/osraa-organization

OSRAA Staff Contacts by Unit
proposals@oregonstate.edu
Asst. Grant & Contract Officers
Admin. Program Specialist
- Proposal communication
- Cayuse, NSF Fastlane, NIH eRA Commons registration forms
- Cayuse questions

osraa@oregonstate.edu
Award Set Up Coordinators
Award Mgmt. Coordinators
- General OSRAA communication
- Award mgmt. communication - NCEs, prior approval requests, foreign travel, etc.
- Personnel Activity Report (PAR) forms and questions

-sponsored.programs@oregonstate.edu
Grant & Contract Officers
- OSRAA communication with sponsors
- Incoming award and outgoing subaward negotiations
- New Subaward and Subaward Amendment request forms
- Testing/Services Activity Clearance Form (for federal fee book activity)

osraa.finance@oregonstate.edu
Grant Accountants
Cash & Costing Analysis Fiscal Coordinators
- Financial reports and communications for OSU awards (incl. incoming subawards)
- Invoicing communications between OSRAA and OSU sponsors
- Financial transactions - cost transfers, labor distributions, etc.
- Cost share communication and questions
- OSU award closeout communications

subawards@oregonstate.edu
Effort Reporting Analyst
- Communications for outgoing subawards under OSU awards
- Subaward invoices to OSU from subrecipient organizations
- Subrecipient monitoring communications - subaward audits, compliance reviews, etc.
- Closeout communications for outgoing subawards
Proposal and Award Management (PAM) Team

Office for Sponsored Research and Award Administration
What are we doing here?

- Help create a successful research enterprise at Oregon State University
  - $250 million in awards comes through OSRAA
  - Start administrative side on the right foot so project is successful

- Trusted Partner to Faculty to Manage their Research
  - Get their proposals reviewed and funded
  - Reduce administrative burden
  - Manage sponsor requirements to allow PI’s to do the project work
How we are organized
Step 1- Proposal Review and Submission
Lydia Perry (Team A), Jenny James (Team B), Robin Shumway (Team C), Michelle Warf (Float), Julie Meier (Cayuse Intake)

- What we do
  - Review proposals for compliance with sponsor and OSU guidelines
  - Make sure every proposal is submitted before the deadline in reviewable condition

- What is the goal
  - Proposals that are funded
  - Projects that run smoothly

- Numbers
  - 4 assistant grant and contract officers, 4 grant and contract officers PT
  - 1995 proposals FY16- over 200 per month in peak rushes
Proposal and Award Management Function Unit

Director, Proposal & Award Management
Zach Gill

Team A
- Award Management Coordinator: Corrine Johnson [0.5]
- Grant and Contract Officer: Doug Wagner
- Award Set Up Coordinator: Jen Hayden
- Asst. Grant and Contract Officer: Lydia Perry

Team B
- Grant and Contract Officer: Cindy Tait Withrow
- Award Set Up Coordinator & Research Data Analyst: Lesley Lazurus

Team C
- Asst. Grant and Contract Officer: Jenny James
- Asst. Grant and Contract Officer: Malinda Woods [0.5]
- Award Management Coordinator: Corrine Johnson [0.5]
- Award Set Up Coordinator: Jane Melton

Units Served:
- College of Ag, Science, College of Forestry
- Extension
- HMISC
- CIMRS

Units Served:
- College of Business
- College of Engineering
- All Centers/Institutes* (except: CIMRS & HMISC)
- Cascades Campus
- Graduate School
- All Other Units

Office of Sponsored Research and Award Administration
Step 2- Award Acceptance
Zach Gill (Director), Vickie Watkins (Managing), Dawn Wagner (Team A), Cindy Tait-Withrow (Team B), Cleo Klepzig (Team C)

- What we do
  - Accept Federal Awards- Bulk of dollars and projects
  - Negotiate Non-profit, state of Oregon, other states, international, federal flow through industry
  - Subawards

- What is the goal
  - Get projects started
  - Minimize legal and financial risks for OSU
  - Ensure award document allows PI to meet project goals

- Numbers
  - 5 contract officers
  - FY16- 2700 award actions and 360 subaward actions
Dawn Wagner (on leave)
  - Team A

Cindy Tait-Withrow
  - Team B

Cleo Klepzig
  - Team C

Vickie Watkins
  - Managing

Zach Gill
  - John Haugaard
Step 3- Setup
Amanda Watts (Managing), Jen Hayden (Team A), Lesley Lazarus (Team B), Shane Melton (Team C)

- What we do
  - Translate award documents into Banner financial to establish indexes

- What is the goal
  - Get PI’s an index
  - Provide financial backbone of the project
  - Monitor large OSU projects

- Numbers
  - 4 setup coordinators
  - FY17 year to date setup has done 2375 actions totaling $140,248,886.55
  - Monthly averages 300 actions for $18-19 million
Amanda Watts  
Manager

Jen Hayden  
Team A

Lesley Lazerus  
Team B

Shane Melton  
Team C
Step 4-Award Management
Corey Johnson (Team A, Half Team B), Mindi Woods (Team C, Half Team B)

- What we do
  - Post-Award Non-Financial issues including prior approval requests to sponsor
  - NCE, rebudgeting, PI changes, request additional Subawardees, Foreign Travel, etc.

- What is the goal
  - Manage changes in the life of an award while following sponsor restrictions
  - Main contacts with Business Centers

- Numbers
  - 2 award management coordinators
Corey Johnson
- Team A and Half Team B

Mindi Woods
- Team C and Half Team B
Cash and Financial Management (CFM) Team

Office for Sponsored Research and Award Administration
Cash and Financial Management Team

- Provides financial award management for sponsored projects
  - Financial reporting
  - Invoicing
  - Draws
  - Collections
  - Final Cost Auditing
  - Closeouts
  - Transaction Compliance
Cash and Financial Management Team

- **CFM By the Numbers**
  - FY17 Award transactions: $271,245,608
  - Active awards with FY17 transactions: 3,857
  - Federal financial reports prepared FY17: 930/yr - 233/qtr
  - Invoices prepared in FY17: Avg 5,630/yr - 469/mo
  - Dollars cashiered last FY17: $232,160,616 - 17,932 entries
  - Approval queues FY17: POs - 237 / JVs - 5,345
  - Grant funds Closed FY17: 530 (466 so far in FY18)
  - Grant closeout backlog: 1,119 awards (Expired in FY17)
Cash and Financial Management Team

- Two functional groups in CFM:
  - Grant Accountants
    - Team O - Heidi Hammond & Autumn Helenihi
    - Team S - Jessica Thurner-Byers & Rhonda Holcomb
    - Team U - Jeff Zoellner & Nichole Havranek
  - Cash and Costing Analysis Fiscal Coordinators
    - Branita Sturm & Rachel Polansky
CFM Grant Accountant Teams

- Three 2-person teams with specific sponsor agency assignments
  - Assist PIs and BCs with financial aspects of awards
  - Invoicing
  - Financial Reporting
  - Collections
  - Closeouts
Team O Agency Assignments - Heidi Hammond & Autumn Helenihi

- DOE - Department of Energy
- BPA - Bonneville Power Administration
- USDA - US Department of Agriculture
- NIFA - National Institutes of Food and Agriculture
- US Forest Service
- USDI - US Department of the Interior
- USGS - US Geological Survey
- BLM - Bureau of Land Management
- NASA - National Aeronautics and Space Administration
- National Labs
- Foundations
- Some State Agencies (K1, K2, K4, K7, and K8 indexes)
- Some University Awards (UC indexes)
Team S Agency Assignments - Jessica Thurner-Byers & Rhonda Holcomb

- NSF - National Science Foundation
- EPA - Environmental Protection Agency
- NOAA - National Oceanographic and Atmospheric Administration
- USDA Agricultural Research Services (ARS)
- State and Federal Department of Education
- State and Federal Department of Transportation
- Miscellaneous Federal Awards (X indexes)
- Other Governmental Awards (Y indexes)
- Some University Awards (U and UW indexes)
Team U Agency Assignments - Jeff Zoellner & Nichole Havranek

- US Military / Armed Forces
- NIH - National Institutes of Health
- Trusts, Societies and Associations (J indexes - except J9)
- Commercial and Mixed Commercial Funding (V and VC indexes)
- Oregon State Economic Development Agency (K6 indexes)
- Some University Awards (UX and US indexes)
Cash and Costing Analysis Fiscal Coordinators - Branita Sturm & Rachel Polansky

▶ Cash
  ▶ Prepare and submit cash drawdowns and payment application for various federal and non-federal systems
  ▶ Analysis and collection of receivables

▶ Costing Analysis
  ▶ Cost transfer review and approval - JVs and LDs
  ▶ High-level expense monitoring
    ▶ After-the-fact monitoring of selected expenditures
    ▶ Review of exception reports
    ▶ Tracking completion of the reconciliation/certification (future)
Award Compliance and Education
What’s our role in Research Administration at OSU?

- Oversight and coordination for university-wide programs:
  - Effort Reporting (Payroll Activity Reports)
  - Subrecipient Monitoring
  - Responsible Conduct of Research (RCR) Reporting
  - Policy and procedure coordination
  - Education and outreach planning
  - Website development and updates
Award Compliance and Education

- **Lisa Hall** - Effort Reporting, subaward invoice review/set up/closeout
- **Aedra McCarthy** - RCR, policy/procedure updates, outreach, website

**FY17 Activity**
- 2,070 incoming subaward invoices reviewed and processed
- 394 new subawards or amendments set up in Banner
- 11,223 PARs distributed
- 410 RCR reports coordinated
- Other activities: subaward audit review, subaward closeouts, policy and procedure updates, website updates, outreach planning
Award Compliance and Education
Current Special Projects

- Task Force for transition from individual effort reporting/PAR process to annual project level payroll certification
- Updating OSU’s subrecipient monitoring plan and procedures
- Updating OSU’s research administration policies and procedures
- Education and outreach planning
  - FY18 Cayuse labs
  - College/Department outreach
  - OSRAA Office Hours
- Website updates and refresh
- Transition of OSRAA forms to DocuSign
Subawards & Subrecipient Monitoring
Shared in OSRAA between ACE & PAM

**ACE Team**
- Subrecipient organization risk assessment (initial and ongoing)
- Annual review and follow-up on subrecipient audit reports
- Subaward set up in Banner
- Review subaward invoices
- Coordinate subaward closeout

**PAM Team**
- Review & approve subaward proposal documents
- Risk review to determine subaward terms and conditions
- Draft, negotiate and execute subaward agreements and amendments
- Prior approval requests and rebudgeting for subawards
QUESTIONS?

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