

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

November, 2017

Office for Sponsored Research and Award Administration

Zach Gill - Director, Proposal & Award Management (PAM)

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



INCENTIVE PROGRAMS UNDERGRADUATE RESEARCH ADVANTAGE CENTERS AND INSTITUTES MAJOR INITIATIVES STATISTICS ABOUT

OSRAA Staff Contacts by Unit

OSRAA Organization

- [OSRAA ORGANIZATIONAL CHART](#)
- [OSRAA FUNCTIONAL CHART](#)
- [PROPOSAL AND AWARD MANAGEMENT COLLEGE/UNIT ASSIGNMENTS](#)
- [CASH AND FINANCIAL MANAGEMENT AGENCY ASSIGNMENTS](#)
- [OSRAA EMAIL MATRIX](#)

OFFICE FOR SPONSORED RESEARCH AND AWARD ADMINISTRATION

OSRAA Organization

> Roles and Responsibilities

OSRAA Frequently Asked Questions

Policies

Getting Started

Forms and Rates

Proposal Preparation

Outreach and Education

Proposal Submission

Awards/Award Management

Financial Reports and Closeout

Effort Reporting

Principal Investigator and Award Status

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

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



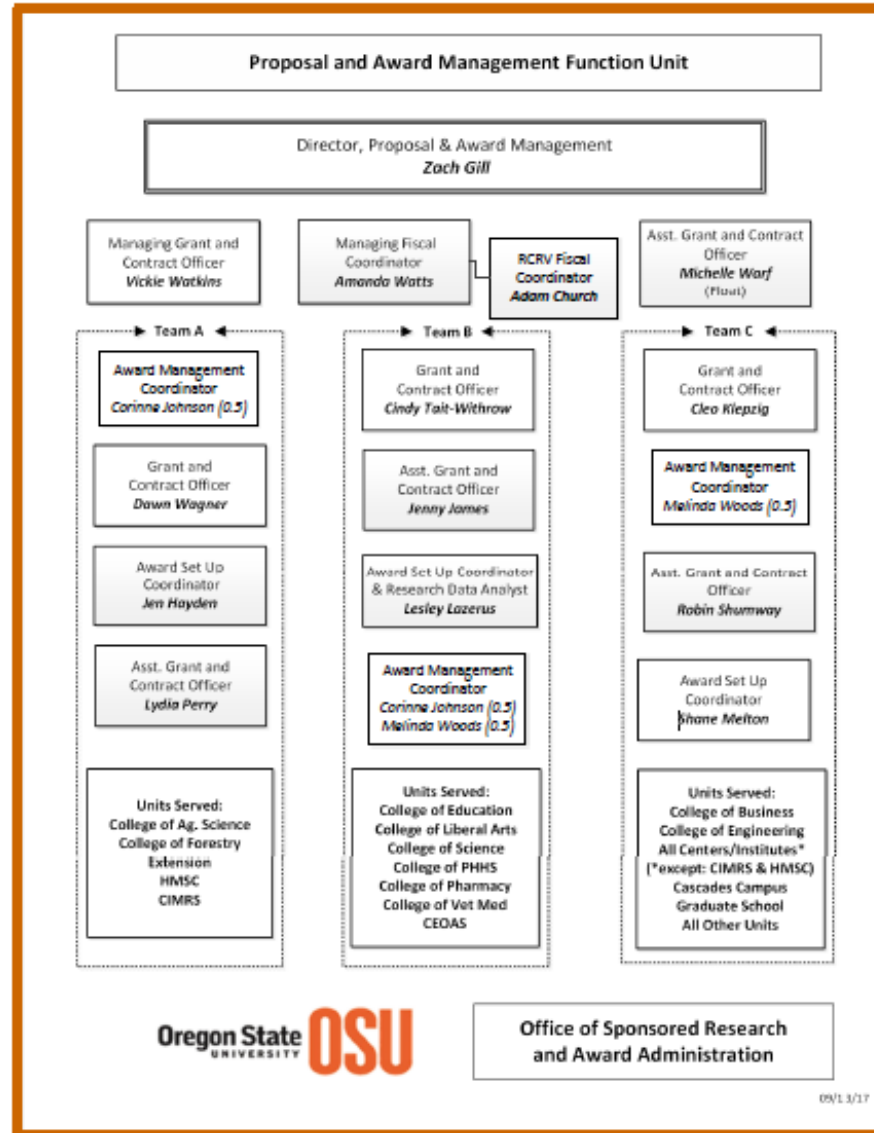
Proposal and Award Management (PAM) Team

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

Managing Grant and Contract Officer
Wickie Watkins

Managing Fiscal Coordinator
Amanda Watts

RCRV Fiscal Coordinator
Adam Church

Asst. Grant and Contract Officer
Michelle Warf
(Float)

Team A

Award Management Coordinator
Corinne Johnson (0.5)

Grant and Contract Officer
Dawn Wagner

Award Set Up Coordinator
Jen Hayden

Asst. Grant and Contract Officer
Lydia Perry

Units Served:
College of Ag. Science
College of Forestry
Extension
HMSC
CIMRS

Team B

Grant and Contract Officer
Cindy Tait-Withrow

Asst. Grant and Contract Officer
Jenny James

Award Set Up Coordinator & Research Data Analyst
Lesley Lazerus

Award Management Coordinator
Corinne Johnson (0.5)
Melinda Woods (0.5)

Units Served:
College of Education
College of Liberal Arts
College of Science
College of PHHS
College of Pharmacy
College of Vet Med
CEDAS

Team C

Grant and Contract Officer
Clea Klepzig

Award Management Coordinator
Melinda Woods (0.5)

Asst. Grant and Contract Officer
Robin Shumway

Award Set Up Coordinator
Rhane Melton

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



Office of Sponsored Research and Award Administration

09/13/17

▶ Michelle Warf

▶ Float

▶ Lydia Perry

▶ Team A

▶ Jenny James

▶ Team B

▶ Robin Shumway

▶ Team C

▶ Julie Meier

▶ Cayuse

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

Proposal and Award Management Function Unit

Director, Proposal & Award Management
Zach Gill

Managing Grant and Contract Officer
Vickie Watkins

Managing Fiscal Coordinator
Amanda Watts

RCRV Fiscal Coordinator
Adam Church

Asst. Grant and Contract Officer
Michelle Warf
(Float)

Award Management Coordinator
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Grant and Contract Officer
Cleo Klepzig

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Dawn Wagner

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Melinda Woods (0.5)

Award Set Up Coordinator
Jen Hayden

Award Set Up Coordinator & Research Data Analyst
Lesley Lazerus

Asst. Grant and Contract Officer
Robin Shumway

Asst. Grant and Contract Officer
Lydia Perry

Award Management Coordinator
Corinne Johnson (0.5)
Melinda Woods (0.5)

Award Set Up Coordinator
Yhane Melton

Units Served:
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CIMRS

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CEOAS

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Office of Sponsored Research and Award Administration

09/13/17

- ▶ 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

Proposal and Award Management Function Unit

Director, Proposal & Award Management
Zach Gill

Managing Grant and Contract Officer
Wickie Watkins

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Amanda Watts

RCRV Fiscal Coordinator
Adam Church

Asst. Grant and Contract Officer
Michelle Warf
(Float)

Team A

Award Management Coordinator
Corinne Johnson (0.5)

Grant and Contract Officer
Dawn Wagner

Award Set Up Coordinator
Jen Hayden

Asst. Grant and Contract Officer
Lydia Perry

Units Served:
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College of Forestry
Extension
HMSC
CIMRS

Team B

Grant and Contract Officer
Cindy Tait-Withrow

Asst. Grant and Contract Officer
Jenny James

Award Set Up Coordinator & Research Data Analyst
Lesley Lazerus

Award Management Coordinator
Corinne Johnson (0.5)
Melinda Woods (0.5)

Units Served:
College of Education
College of Liberal Arts
College of Science
College of PHHS
College of Pharmacy
College of Vet Med
CEDAS

Team C

Grant and Contract Officer
Clea Klepzig

Award Management Coordinator
Melinda Woods (0.5)

Asst. Grant and Contract Officer
Robin Shumway

Award Set Up Coordinator
Shane Melton

Units Served:
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Graduate School
All Other Units



Office of Sponsored Research and Award Administration

- ▶ Amanda Watts
 - ▶ Managing
- ▶ 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

Proposal and Award Management Function Unit

Director, Proposal & Award Management
Zach Gill

Managing Grant and Contract Officer
Wickie Watkins

Managing Fiscal Coordinator
Amanda Watts

RCRV Fiscal Coordinator
Adam Church

Asst. Grant and Contract Officer
Michelle Warf
(Float)

Team A

Award Management Coordinator
Corinne Johnson (0.5)

Grant and Contract Officer
Dawn Wagner

Award Set Up Coordinator
Jen Hayden

Asst. Grant and Contract Officer
Lydia Perry

Units Served:
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Team B

Grant and Contract Officer
Cindy Tait-Withrow

Asst. Grant and Contract Officer
Jenny James

Award Set Up Coordinator & Research Data Analyst
Lesley Lazerus

Award Management Coordinator
Corinne Johnson (0.5)
Melinda Woods (0.5)

Units Served:
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College of Liberal Arts
College of Science
College of PHHS
College of Pharmacy
College of Vet Med
CEOAS

Team C

Grant and Contract Officer
Clea Klepzig

Award Management Coordinator
Melinda Woods (0.5)

Asst. Grant and Contract Officer
Robin Shumway

Award Set Up Coordinator
Thane Melton

Units Served:
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College of Engineering
All Centers/Institutes*
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Cascades Campus
Graduate School
All Other Units

- ▶ 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 (ACE) Team

Office for Sponsored Research and Award Administration

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?

Award Compliance and Education (ACE) Team

Aedra McCarthy

- ▶ Aedra.McCarthy@oregonstate.edu
- ▶ 541-737-4927

Cash and Financial Management (CFM) Team

Sandy Cobb:

- ▶ Sandy.Cobb@oregonstate.edu
- ▶ 541-737-9585

Proposal and Award Management (PAM) Team

Zach Gill

- ▶ Zach.Gill@oregonstate.edu
- ▶ 541-737-1794