



Office of Research and Sponsored Programs

“About ORSP”

Who we are and what we do

Fall 2009



Office of Research & Sponsored Programs

The Office of Research and Sponsored Programs supports the University community in their research and other projects to increase scholarship and creativity, while mitigating risk to the university, faculty and staff.



Office of Research & Sponsored Programs

www.du.edu/orsp
Mary Reed #222

ORSP Administration

Gerald Mauck, Assistant Controller – Research Administration

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Office of Research & Sponsored Programs

Sponsored Programs Administration

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Financial Operations and Reporting

Amy Lee, Financial Analyst
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Research Compliance & Training

Sylk Sotto-Santiago - Manager
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What is Research and Sponsored Programs?

- Research – A detailed study of a subject in order to discover new information or reach a new understanding.
- Sponsored Program – A grant/contract for specific work or deliverables, including research. Exchange of reciprocal value between University and Sponsor.

Research can be sponsored or unsponsored!

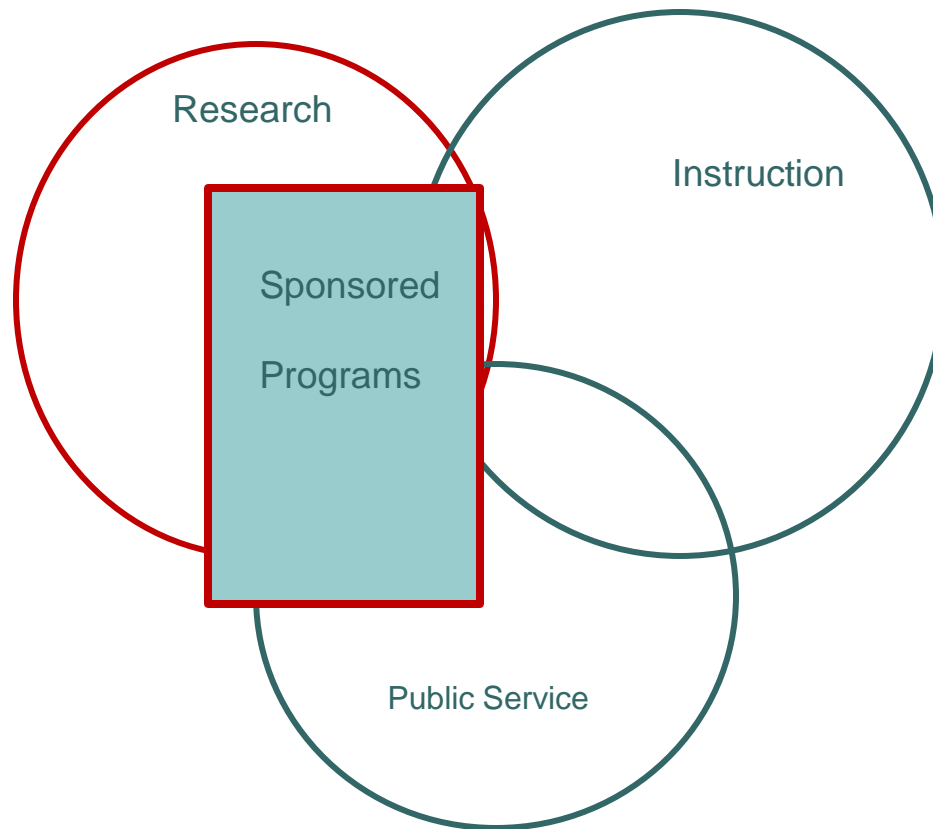


Types of Research and Sponsored Programs

- Research
 - Sponsored
 - Federal – Direct and Passthrough any below
 - State/Local
 - NonProfits
 - Corporations
 - Non-Sponsored
- Other Sponsored Agreements (same sponsor types)
 - Public Service agreements
 - Instruction



Research and Sponsored Programs





Types of Sponsored Agreements

- Grants
 - Public purpose – financial assistance
 - Project defined by PI
 - Results not guaranteed; no legal remedy for failure
- Cooperative agreements
 - Public purpose – financial assistance
 - Project initiated by sponsor or by PI
 - Results not guaranteed; no legal remedy for failure
- Contracts
 - Acquire property or services
 - Sponsor initiated
 - Terms and conditions including legal remedy



Types of Sponsored Agreements

- Subgrants and subcontracts
- Cost reimbursable
- Fixed price



Grants vs. Gifts

Grant – ORSP

- Specific work/deliverable with reciprocal value
- Sponsor
- Proposal reviewed by peers
- Status and financial reports required
- Audits required (e.g. A-133)
- Includes assurances of compliance with regulations
- Unspent funds returned to sponsor

Gifts – University Adv

- Contribution with charitable intent with no reciprocal value
- Donor
- Applications may be reviewed by donor or lay persons
- Reports and financials are of general nature for stewardship
- May be subject to donor audit
- No use of human or animal subjects, no biohazards
- May have to be returned if not implemented at donor discretion



Research and Sponsored Programs

Business within our Business

- Research is “big business”
- Important part of University mission
- \$20 million in sponsored programs FY09
- Heavily regulated
- Financial compliance and reporting



Regulatory and Policy Environment

- Compliance with research conduct regulations and practices
- Compliance with Federal and State regulations
- Compliance with regulations and sponsor policies regarding administering programs
- Compliance with internal policies



So what is ORSP?

- An administrative department of business professionals that:
 - Supports research and sponsored activities of faculty and students by providing project and financial services that support scholarly activities:
 - Proposal assistance
 - Project/Fiscal administration
 - Financial reporting
 - Protects University in the regulatory environment-both Financial and Nonfinancial



So what is ORSP?

- Administer agreements according to internal and external policies and regulations.
- Compliance with policy, not establishment of policy

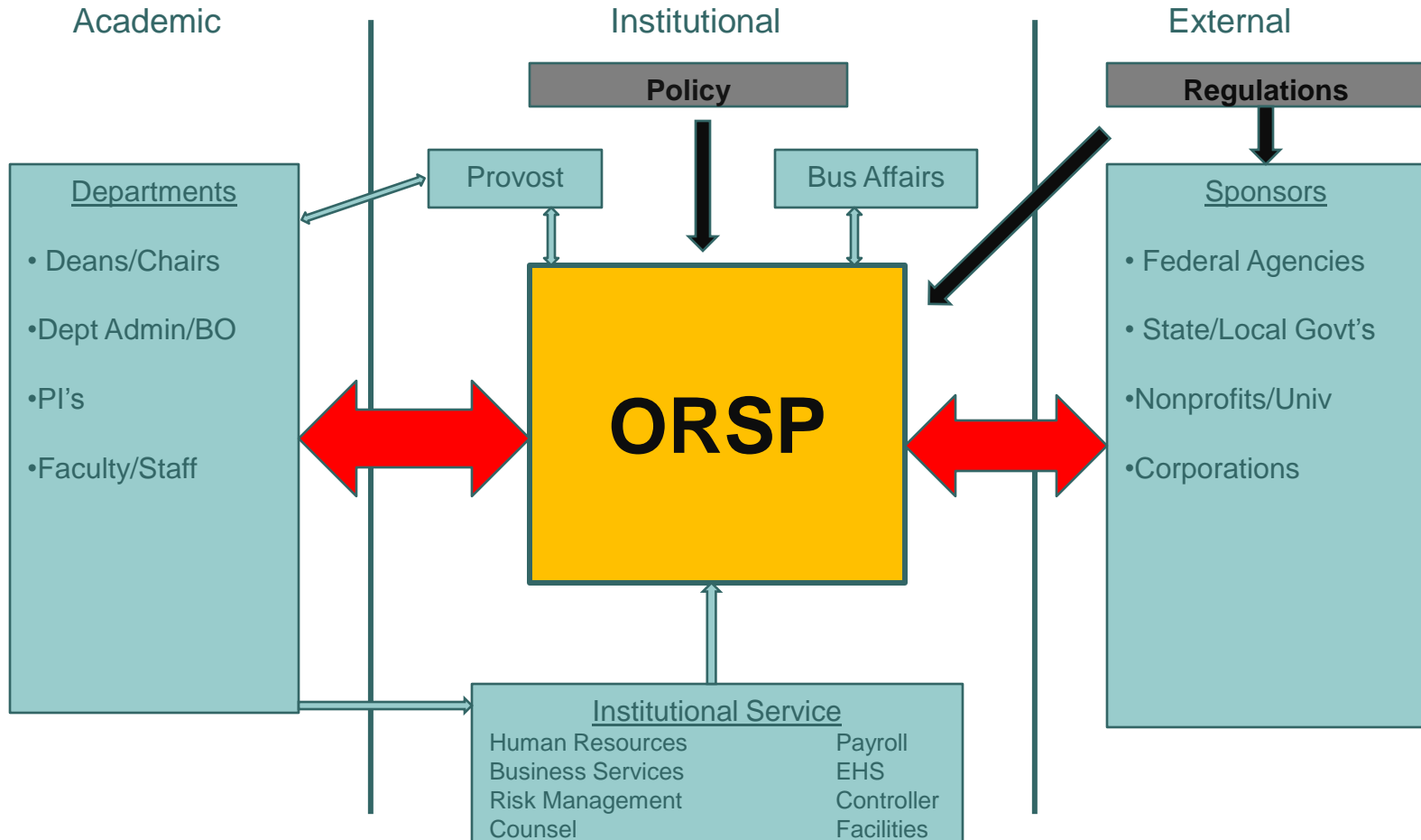


ORSP & the Research Organization

- ORSP is only part of a collective research organization that consists of Academic and Institutional departments.
- ORSP facilitates the research & sponsored programs with internal personnel and external sponsors.
- ORSP is far more than just proposal submission



Research & Sponsored Programs Organization





Research & Sponsored Programs Organization

Roles & Responsibilities



ORSP

- Administer policy; establish procedures
- Support/facilitate research initiatives
- Compliance with policy/regulations
- Education and training regarding policy and initiatives
- Financial accountability



Associate Provosts – Research and Grad Studies

- Strategic direction for research (spon/nonspon)
- APR is Institutional Official for research
- Establish policy in connection with Institution (Provost, Business Affairs, etc)
- Faculty development (with depts)



Academic Dept Leadership

- Strategic program development & leadership
- Faculty development
- Programmatic and business decisions



Principal Investigators

- Programmatic concept and contact
- Program execution
- Conduct program according to regulations, policy and procedures
- Personal professional development



Departmental Administrators

- Programs conducted according to business objectives
- Administer individual programs according to policy and procedures
- Program compliance
- Personal professional development



Institutional Support Organizations

- Human Resources
- Payroll
- Business Services
- Risk Management
- Environmental Health and Safety
- Controller's Office
- University Counsel
- Facilities

Research organization must comply with all of these units



Office of Research and Sponsored Programs

- ORSP is a sub-department of the Controller's Office and reports directly to the Controller.
- ORSP reports to Associate Provost for Research on research related issues



Office of Research & Sponsored Programs

I. Sponsored Program Admin:

- Preparation and submission of proposals
- Negotiation and acceptance of agreements
- Award management (setup, monitoring, closeouts)
- Subcontract administration (preparation, execution, monitoring, etc.)
- Communications and reports to sponsors, PIs, and university administration
- Billing/Acct & Reporting

ORSP: The Scope

- **What:** Grants, Contracts, Cooperative Agreements, Other non-financial agreements
- **From Whom:** Government, Non-profit, Industry, and Other Sponsors
- **Why:** Research, Instruction, Service/Outreach, and Other Activities

II. Financial Operations:

- Effort Certifications
- ORSP Reporting and Compliance
- Payments/Receivables & Reconciliations
- Expenditure approvals
- IDC Rates/Space Survey
- Audit Coordinator

III. Research Regulatory Compliance:

- Human subjects (IRB)
 - HIPAA (Privacy)
- Animals (IACUC)
- Biohazards (IBC)
- Conflicts of Interest (COI)
- Export Controls



Office of Research & Sponsored Programs Program Development

- Support AP-Research in Strategic Initiatives
- Provide guidance in interpreting all Federal, State, University, agency and sponsor regulations & requirements
- Provide educational and training programs for faculty and staff for research & sponsored programs



Sponsored Program Administration Pre-Award Administration

- Work with sponsors/PI's on proposal requirements and guidelines
- Assist PI's in budget development, including IDC and cost share requirements
- Proposal submission, including reps/certs
 - ERA systems – Grants.gov, NSF Fastlane, etc
- Provide all internal documents required



Sponsored Program Administration

Post-Award Administration

- Review, negotiation and acceptance of awards
- Billings and financial reports
- Award is in compliance with all regs/policies
- Close out awards in accordance with regs and terms of agreement



Financial Operations & Reporting

- Post-Award functions
 - Effort is properly accounted & certified
 - Expenditure review- reasonable, consistent, allowable
- Operations/Reporting
 - Develop & negotiate IDC rates
 - Calculate & distribute flowback to depts
 - Space surveys
 - Internal and external reporting on SPA
- Audit management



Research Compliance

- Identify and manage compliance concerns in research projects. Provide education and training.
- Compliance committees required by regs
 - IRB – Human subjects
 - IACUC – Care and use of animals
 - IRB – Biosafety
- Work closely with ARP on ensuring Responsible Conduct of Research and ethical conduct
- Manage conflicts of interest
- Export control review for research



Development and Compliance Balance

- Development – Pre-award; proposal submission functions.
 - Important in development of research at DU, face of ORSP to PI's, but only a small part of ORSP
 - AVP plays significant role in development
- Compliance - All other functions of ORSP center around compliance. The risk is in research compliance and post-award admin. Risks to DU, PI's administrators, all of us. High emphasis on managing this risk. Not always seen by community.



What you can expect from ORSP

- Professional
- Knowledgeable: *Caveat: It's impossible to know everything in SPA, but we will work to find the right answers.*
- Accountable
- Integrity



Four C's of ORSP

- Compliant
- Consistent
- Collaborate
- Communicate



What ORSP expects of you

- The same...
- Know the policies and procedures
- Get Trained and stay updated
 - ORSP training events
 - NCURA/NACUBO training
 - Questions, contact ORSP



Where to go for answers?

- ORSP website www.du.edu/orsp
 - Departmental updates
 - SPA updates
 - Education and training course dates
 - Principal Investigators Guide
 - Policies and Procedures
- ORSP Listservs
 - Du-pi@du.edu
 - DU-deptadmin@du.edu
- Contact the Project Administrator for your department



Department Assignments

Julie Cunningham – Manager – PA for Psychology

Lynn Backstrom-Funk

- AHSS exc. Psychology
- Biology and ERI
 - DCB
 - Law
- Service Learning/LCE
- University College

Katherine Burnapiyawong

- Chemistry
- Education
- SECS
- Grad Tax
- Physics



Research Compliance Contacts

IRB – Contact Lindsey Neidt

All other compliance/training issues:
Contact Sylk Sotto-Santiago



Operations

Contact Amy Lee with questions on:

- Effort Certifications
- Indirect Costs
- Expenses
- Notification of audits/desk reviews



ORSP Contact

PLEASE Contact Jerry Mauck

if you have any question regarding ORSP or Research in general.

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gmauck@du.edu



Institutional Contacts

Controller:

Margaret Henry
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(303)871-4025

Associate Provost –
Research:

Cathryn Potter
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(303)871-2913



FAQ's

- **How do I get grant writing assistance?**

ORSP does not provide grant writing assistance. There are links on the ORSP website for publication material on grant writing. Would suggest contacting your department chair or AP-Research.

- **Where do I find funding?**

There are a number of sources where you can search for funding opportunities such as Community of Science (COS) database, Grants.gov, NSF. These are described on the ORSP website with appropriate links. Speak with your department chair or AP-Research on what may be the best approach. ORSP can assist you in using these services and provides a training course on COS.



FAQ's

- Who do I call? Who/what is my PA?

Check the “About ORSP” page on the ORSP website. This shows what services we provide and who to contact. The departmental PA assignments are on this page

- I am new to grants, where do I start?

Review the ORSP webpage. Contact your PA for guidance on your project. Contact Julie Cunningham and arrange an ORSP 101 meeting.

- What do I do if I have human(animal)subjects?

- *Review the applicable research compliance policies on the ORSP webpage and proceed accordingly. Contact ORSP Research Compliance with questions.*



FAQ's

- I have a research concept. When should I contact ORSP?

AS EARLY AS POSSIBLE! Don't wait, get us involved early.

- What do I do if I have a contract?

First, have it reviewed by your business people. Then coordinate the review with your PA. Do not send it directly to legal if it is a sponsored program.

- What are the dept administrator responsibilities?

Performs admin functions for department such as time entry.

Works with PI on business aspects for that department. Direct administrative assistance to the department PI's



FAQ's

- I have a question on pay?

First contact the department administrator, then Payroll.

- I have a question on someone's status or e-class?

All employee related paperwork and questions need to be directed to Human Resources

- I need help with a research concept or with possible collaboration?

Contact your department chair, dean or AP-Research.



FAQ's

- Where do I go with if I need an MTA or there are possible Intellectual Property issues?

- *Contact Carley Pavelka in Tech Transfer.*

- I want to submit a proposal what do I do?

The policies and procedures on proposal submission are on the ORSP webpage. Your PA can assist you with the Proposal Review and Acceptance form and with the process.



FAQ's

- Who can I talk to about IDC flowback?

Depends on what you want to know. Flowback is an institutional policy administered by ORSP.

- *Questions on calculation – contact ORSP Operations*
- *Questions on individual distribution – Contact department chair or departmental administrator*
- *Questions on flowback policy – Contact Associate Provost*

Want to find out more about IDC – Come to IDC Training Event in November. For a listing of all training events, please see ORSP Website. There is a link on the main page!



QUESTIONS.....

ORSP Training and Events can be found at:

www.du.edu/ORSP

Link to 2009 ORSP Training Events