

# Research Administration and Compliance Meeting

## August 26, 2009

### Agenda

- Research and Development Advisory Council (ReDAC) creates
  - Committee on the Administration of Research (CAR); and
  - Research Administration and Compliance Meetings (RACM)
- Introductions of OSP Staff/Current Org Chart
- Introductions of G&C Staff/Current Org Chart
- New Signature Requirements for IAF approved by ReDAC/New IAF)
- Update on Electronic Systems
  - OSP Life Cycle
  - Workflow Demonstration
  - VCUeRA Training for Department-Level Grants Administrators
- Subaward Update
- Update on ARRA Funding and Reporting
- Reminders from G&C
- OSP's Top "10"

# Committee on the Administration of Research (CAR)

Membership

August 2009

## School and College Appointees

Allied Health Professions	Brenda <u>McFail</u>
Dentistry	Margaret Poland
Health Sciences	Quincy <u>Byrdsong</u>
Medicine	George Ford
Medicine	Brenda <u>Caine</u>
Nursing	Marie Gardner
Pharmacy	Gary <u>Pantaleo</u>
Business	Tom Rose
Education	Susan <u>Younce</u>
Engineering	Billie Martin-Lowry
Humanities and Sciences	Sharon Dawson
Life Sciences	Pamela Allred-Irby
Social Work	Daniel S. Park
The Arts	<u>Melyatta Powers</u>

## Directors

Grants & Contracts Accounting	Margie R. Booker
Office of Sponsored Programs	Melanie Wiggins
Office of Sponsored Programs	Annie <u>Publow</u>

## Co-Chairs

University Controller	Patricia Perkins
Asst. VP for Research Administration	Susan Robb

## **Research Administration and Compliance Meetings**

### **Purpose**

Research Administration and Compliance Meetings are held to disseminate information related to research administration and compliance issues.

### **Attendees**

All members of the VCU community that are interested in research administration and compliance activities are welcome to attend the meetings.

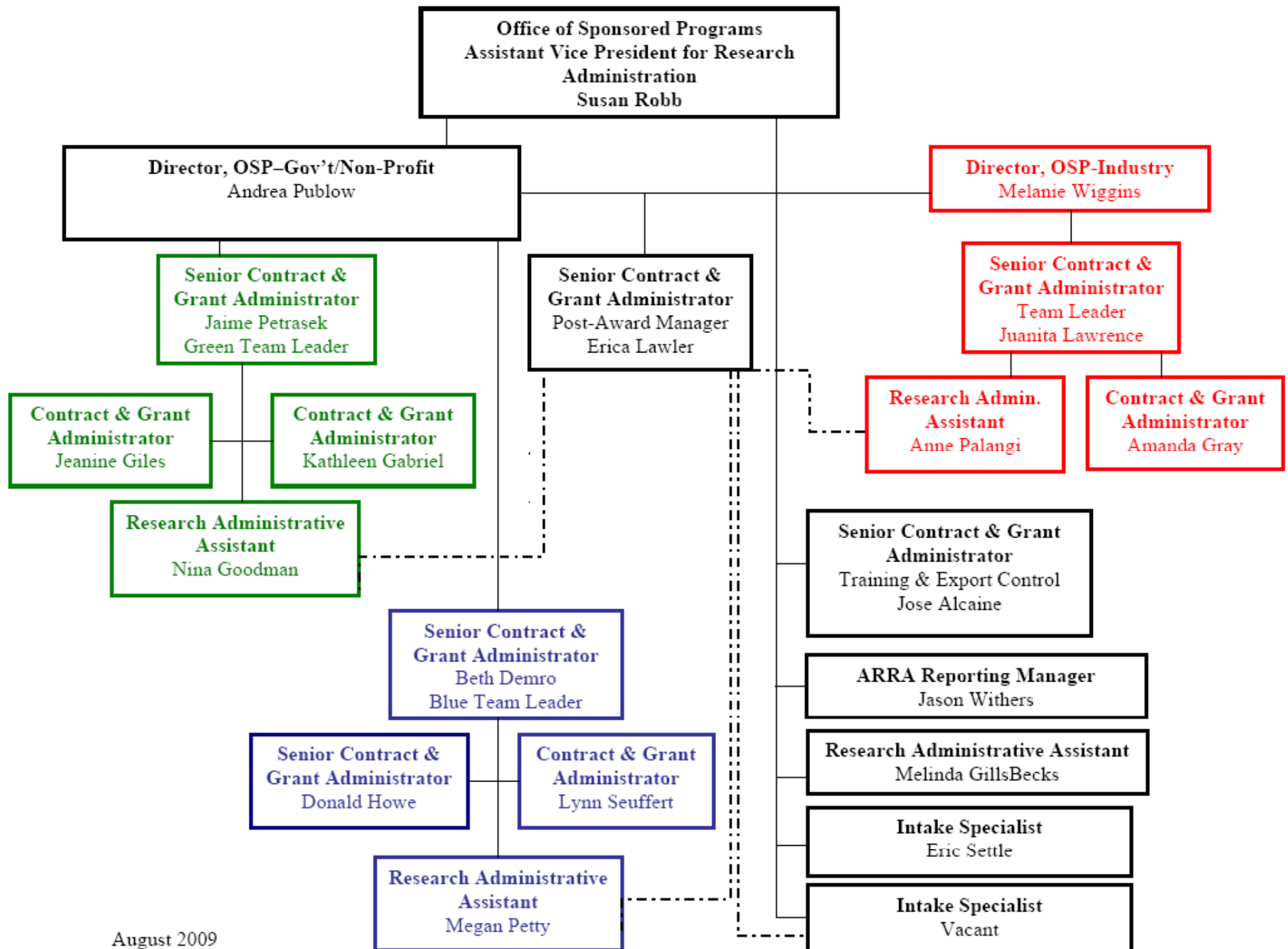
### **Meetings**

Meetings will be co-chaired by the Assistant Vice President for Research Administration and the Controller and held on an as-needed basis, but not less often than biannually.

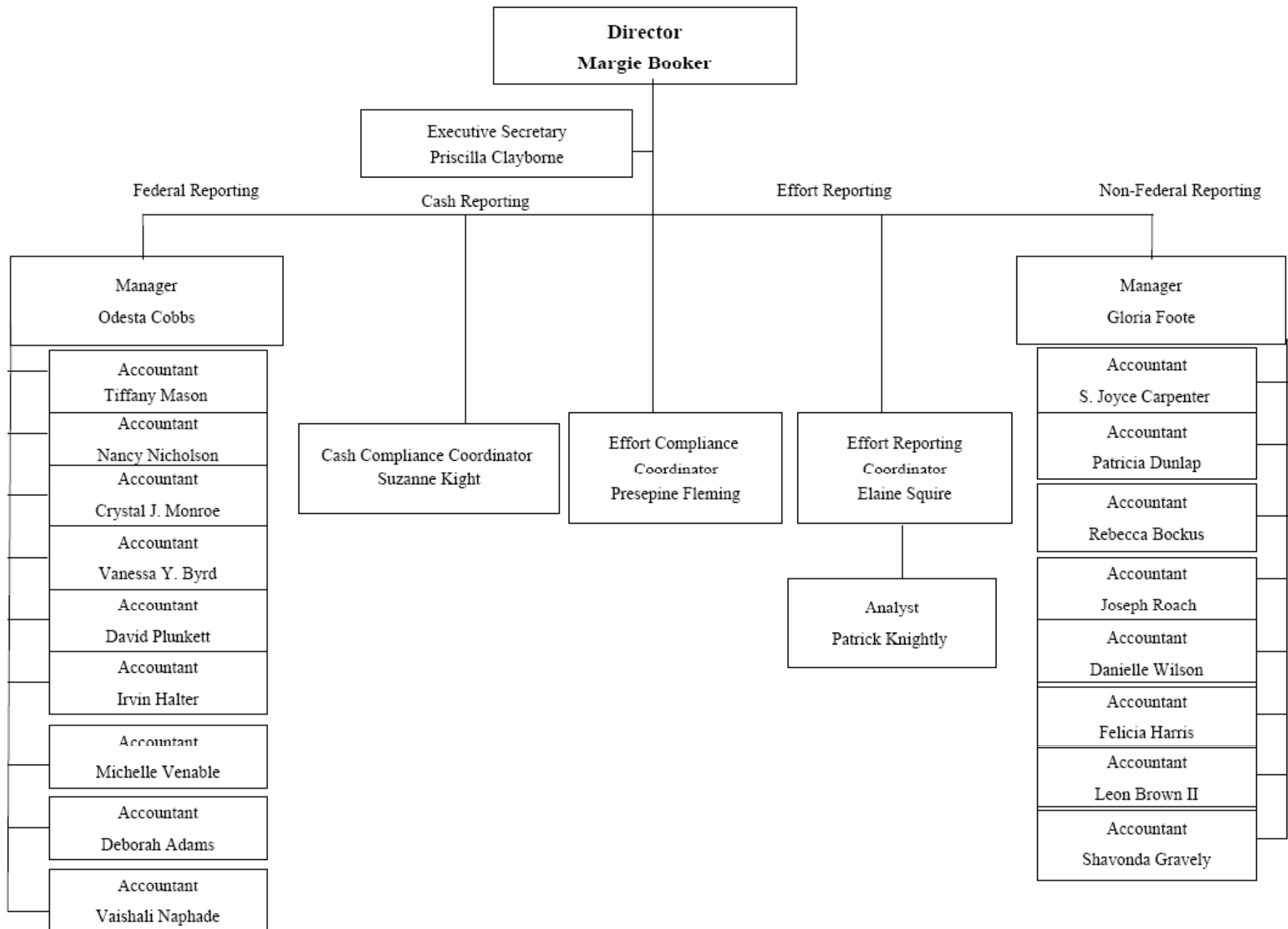
### **Agendas**

Agendas will be set by the Committee on Administration of Research (CAR).

# VCU Office of Sponsored Programs



# Grants and Contracts Accounting and Effort Reporting Organizational Chart



# New Signature Requirements for IAF

- Effective immediately, only Dean signatures are required on Internal Approval Forms
- Pls are required to provide a copy of their proposal to their Chair and certify to that on the IAF

VCU  
Office of Sponsored Programs  
Office of Research



Committee on the Administration of Research  
Office of Sponsored Programs Update on  
OSP Electronic Systems including "Workflow"  
August 26, 2009

# Update on Electronic Systems

## Presentation Topics:

- Three Proposal Routing “Paths”
- Sponsored Project “Life Cycle” Universe
- Workflow Diagram: Proposal Intake & Review
- Proposal Workflow Communications
- Proposal Activity Report
- Departmental Grant Administrator Responsibilities



# Three Proposal Routing “Paths”(based on Submission Type) to Initiate OSP Review

- “Path One”: Hard Copy (paper) Proposal Submission
  - **Paper copy of signed IAF, COI and full copy of sponsor required proposal package including a line item budget is delivered to OSP.**
- “Path Two”: VCUeRA Electronic Proposal Submission
  - **Electronic proposal, IAF and COI are routed and electronically delivered to OSP as a unified package.**
- “Path Three”: non-VCUeRA Electronic Proposal Submission
  - **Finalized electronic proposal uploaded to OSP’s FTP site. Signed IAF, COI and internal budget are “delivered” to us at dirospa@vcu.edu—please include the following subject line: (PI Name) Electronic Application is Ready for Review and Approval.**

<http://www.research.vcu.edu/osp/submissions.htm>

# Path #1: Hard Copy Proposal Submission

PI prepares proposal and COI in hard copy, provides copy to department chair, and routes IAF to school dean(s) for signature.

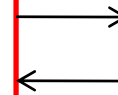


Hard copy proposal delivered to OSP with hard copy signed IAF and COI at least three (3) days prior to sponsor-published deadline (more lead time recommended during heavy deadlines.)



OSP receives and reviews proposal; after all concerns resolved, proposal is signed by Authorized Official and returned to PI

**Corrections  
and revisions  
to proposal  
(by PI/OSP)**



PI submits proposal to sponsor

## Path #2: VCUeRA Electronic Proposal Submission

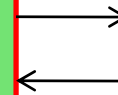
PI prepares proposal in VCUeRA including electronic IAF. COI is prepared and signed in hard copy then scanned and uploaded to finalization section of VCUeRA proposal. Routing to school dean(s) is electronic when PI hits “submit.”



Proposal is electronically delivered to OSP; should arrive to OSP at least five (5) business days prior to sponsor-published deadline.



OSP receives and reviews proposal; resolves all concerns. PI must finalize research plan three (3) business days prior to deadline.



**Corrections  
and revisions  
to proposal  
(by PI/OSP)**



OSP submits  
proposal to sponsor.

## Path #3: Non-VCUeRA Electronic Proposal

PI prepares proposal in manner requested by sponsor's announcement. IAF and COI are completed in hard copy, a copy provided to department chair(s), IAF routed to school dean(s) for signature.

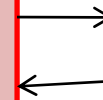


Signed IAF and COI are EITHER dropped off to OSP OR scanned and emailed to OSP's [dirospa@vcu.edu](mailto:dirospa@vcu.edu). Finalized adobe package (if grants.gov) is uploaded to OSP's FTP secure shell site. All due to OSP at least five (5) days prior to sponsor-published deadline.



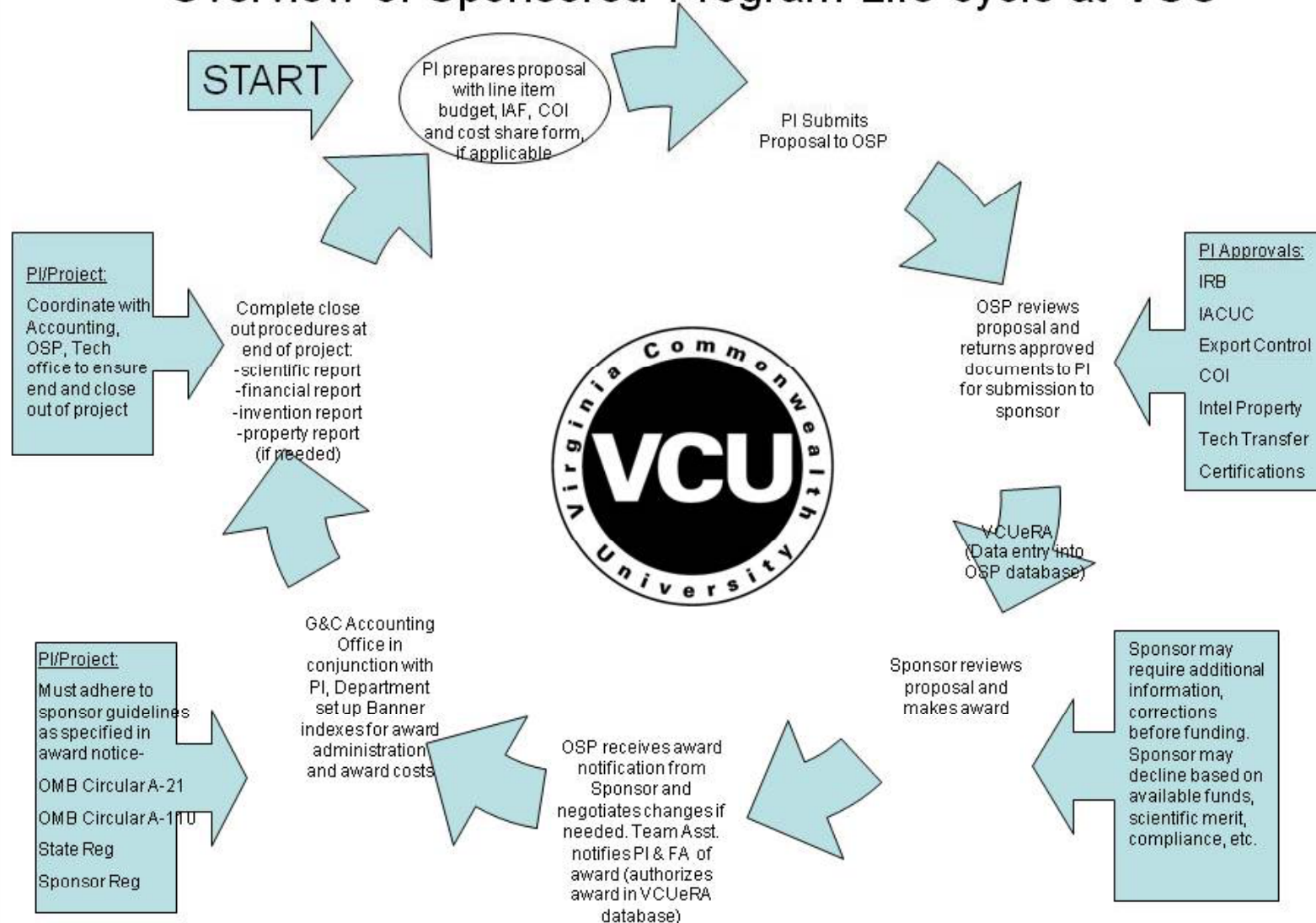
OSP receives and reviews proposal; resolves all concerns. PI must finalize research plan three (3) business days prior to deadline.

**Corrections  
and revisions  
to proposal  
(by PI/OSP)**



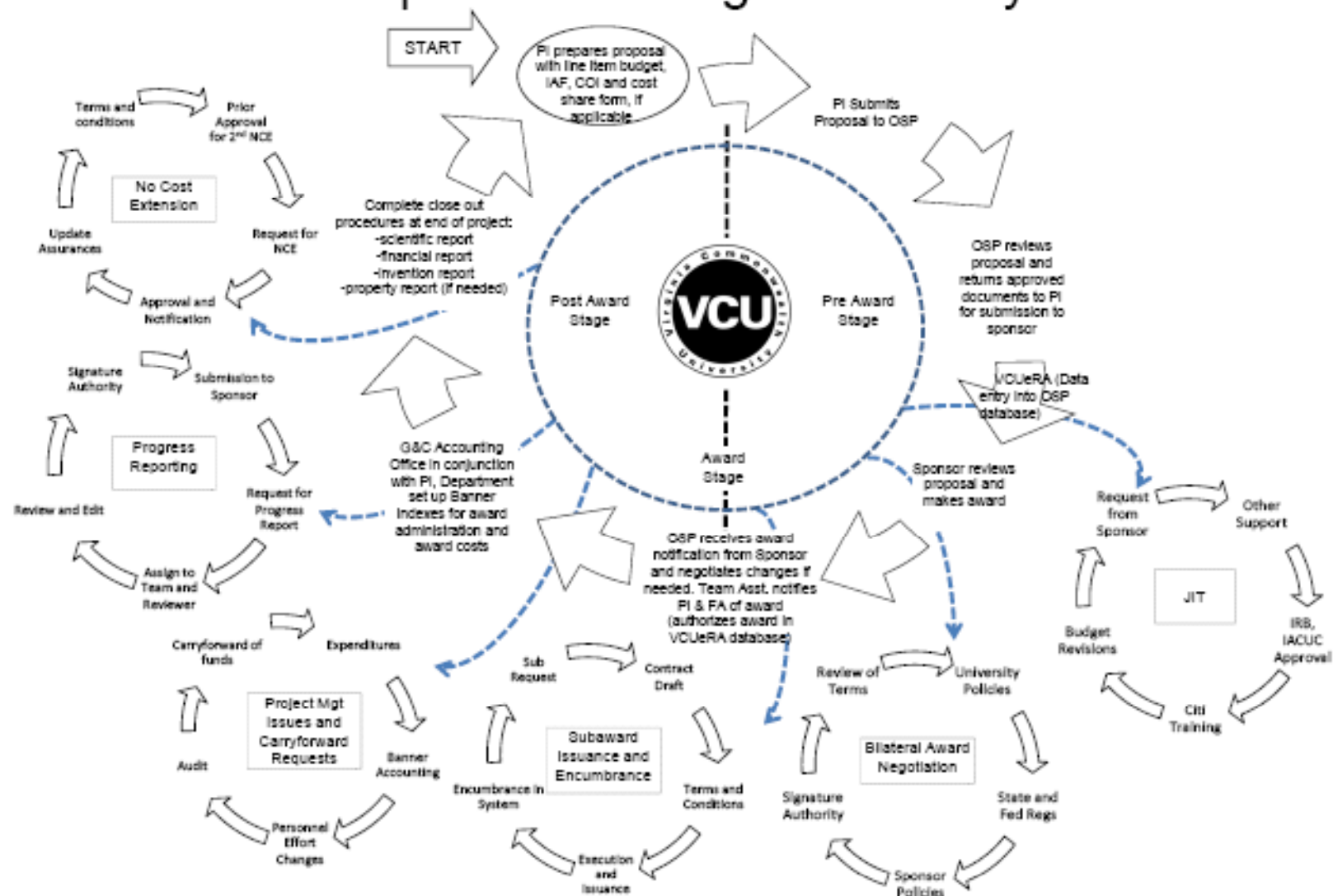
OSP typically submits electronic proposals (unless sponsor allows for PI submission.)

# Overview of Sponsored Program Life-cycle at VCU

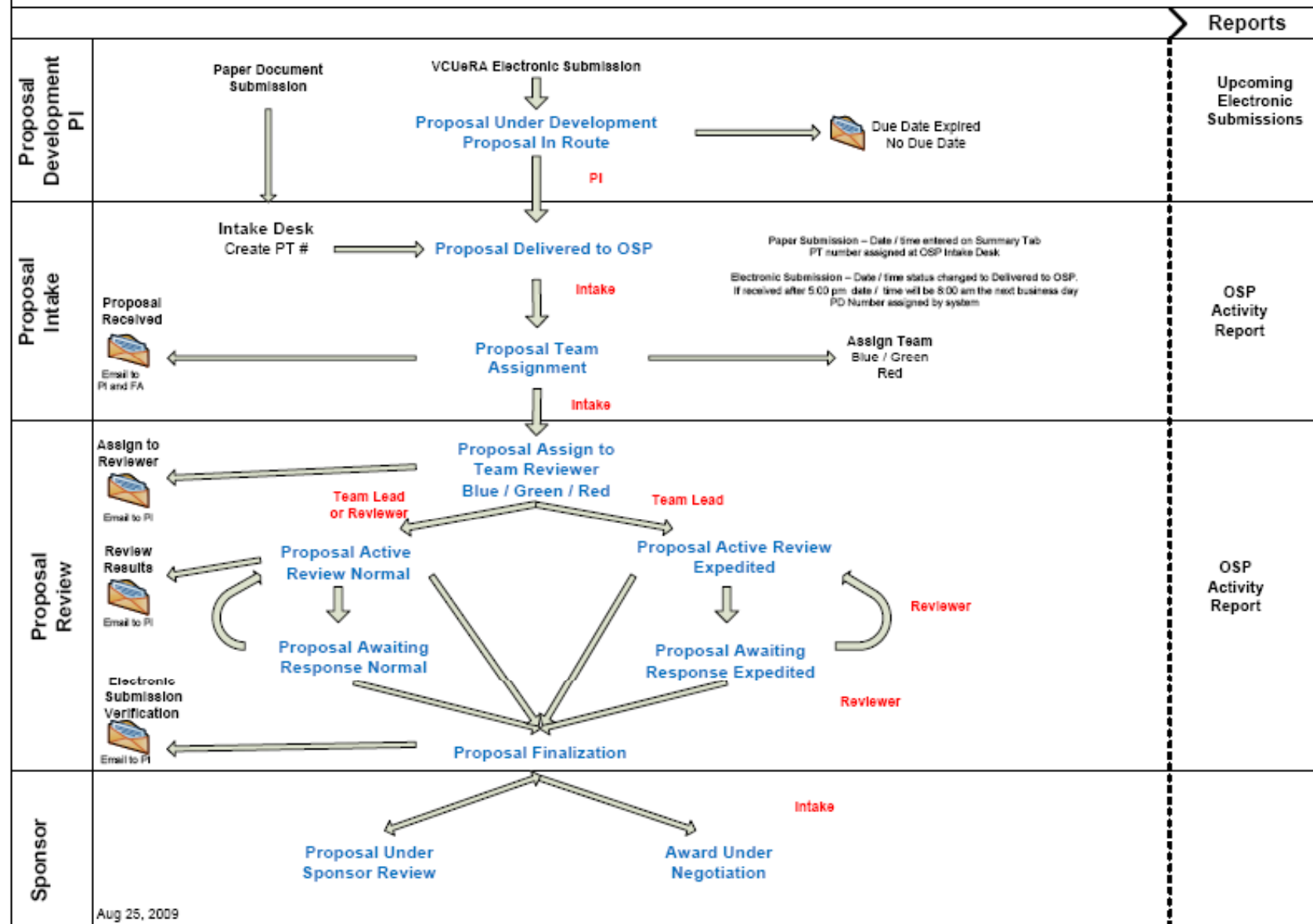


©VCU Fall 2008 SPA Certification Program

# Overview of Sponsored Program Life-Cycle at VCU



# Office of Sponsored Programs Proposal Intake and Processing System Status



# Updated Statuses: OSP Workflow

Previous Statuses July 2009	Current Statuses August 2009	Description of Status
Under Development	Proposal Under Development	The proposal is being developed by the PI. At this point the proposal is a work in progress.
Under Department Review	Proposal In Route	The proposal has been submitted by the PI to be reviewed by the Deans of all schools who have Key personnel on the proposal. The Chair of any key personnel are Informed that the proposal is routing but do not have to approve the proposal.
Delivered to OSP	Proposal Delivered to OSP	The proposal has finished routing through schools and OSP has been notified that the proposal is delivered and ready for university level review.
	Proposal Team Assignment	The proposal has been logged into OSP by date and time and is in the process of being assigned to the Blue, Green or Red Team for review.
	Proposal Assign to Team Reviewer - Blue	The proposal has been assigned to the OSP team responsible for this department and sponsor type, the Blue Team was Assigned and a specific Blue Team Reviewer has been assigned responsibility for review.
	Proposal Assign to Team Reviewer - Green	The proposal has been assigned to the OSP team responsible for this department and sponsor type, the Green Team was Assigned and a specific Green Team Reviewer has been assigned responsibility for review.
	Proposal Assign to Team Reviewer - Red	The proposal has been assigned to the OSP team responsible for this department and sponsor type, the Red Team was Assigned and a specific Red Team Reviewer has been assigned responsibility for review.
Under Institution Review	Proposal Active Review Normal	The proposal is in the process of being reviewed. The proposal is being reviewed on the normal first-come, first-served basis.



# Updated Statuses: OSP Workflow

	Proposal Awaiting Response Normal	The proposal has been reviewed. The reviewer has requested information from someone and is awaiting response. The proposal is being reviewed on the normal first-come, first-served basis.
	Proposal Active Review Expedited	The proposal is in the process of being reviewed. The proposal is being reviewed outside of the normal first-come, first-served basis.
	Proposal Awaiting Response Expedited	The proposal has been reviewed. The reviewer has requested information from someone and is awaiting response. The proposal is being reviewed outside of the normal first-come, first-served basis.
Logged In	Proposal Finalization	The proposal has been approved by OSP and either submitted to the sponsor or returned to the PI for transmission to the sponsor. OSP's copy of the proposal is with the Intake Specialist for the final system data input.
Under Sponsor Review	Proposal Under Sponsor Review	The proposal is under consideration by the sponsor.
Revised Budget Requested	Proposal Revised Budget Requested	Sponsor has requested a revised budget.
Just-In-Time Requested	Proposal Just-In-Time Requested	The sponsor has requested just-in-time information.
In Negotiation	Award Under Negotiation	Prospective award under review by OSP and/or terms and conditions are being negotiated with the sponsor.
Award to Sponsor for Execution	Award to Sponsor for Execution	OSP has signed the award and returned it to sponsor for countersignature. Award cannot be processed and finalized until signature is received.
Awarded	Awarded	A finalized award has been received and processed by OSP
No Cost Extension 1	Award No Cost Extension 1	A No Cost Extension has been awarded

# Updated Statuses: OSP Workflow

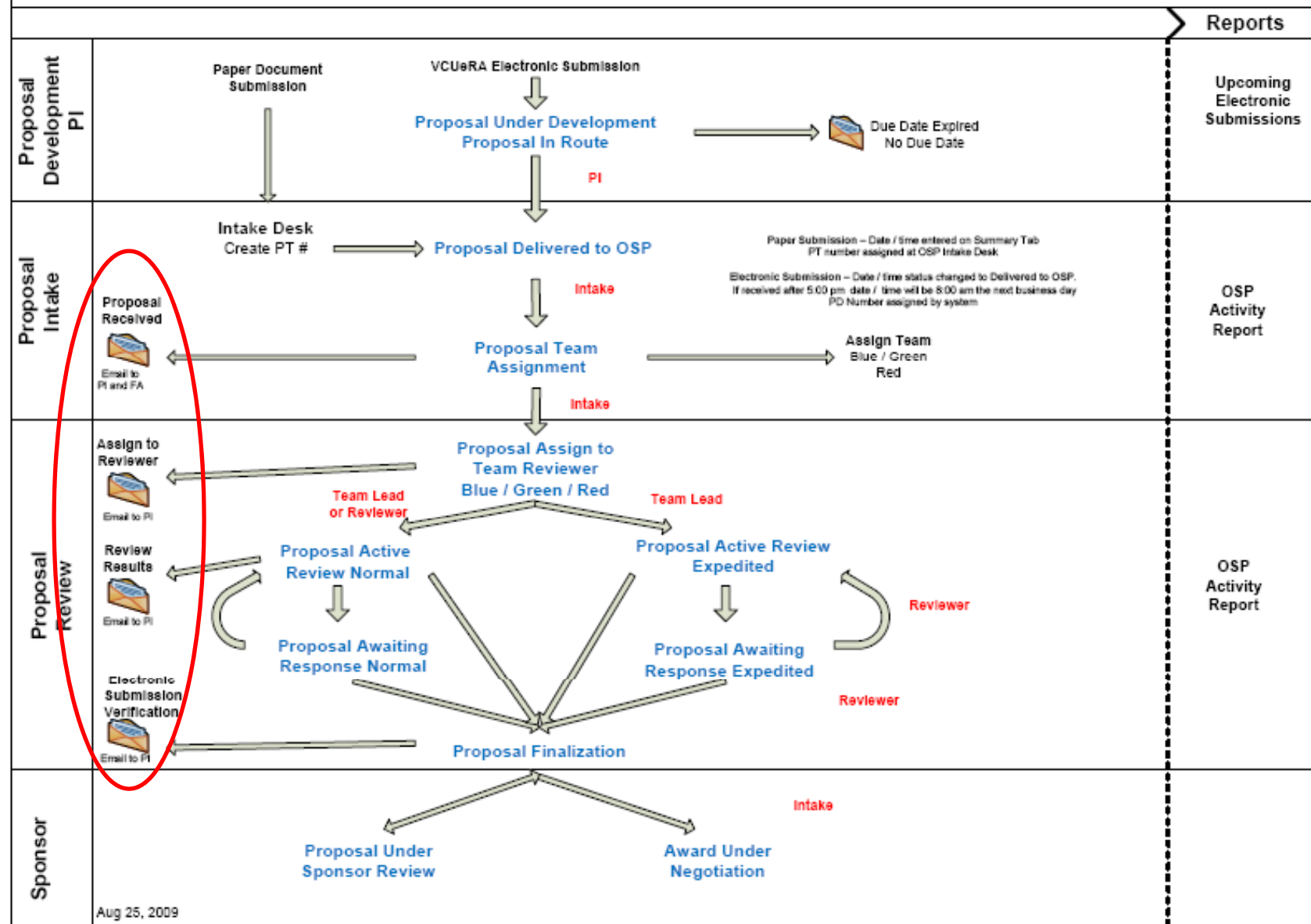
No Cost Extension 2	Award No Cost Extension 2	A second No Cost Extension has been awarded
In Closeout	Award In Closeout	The award is complete and all required final reports are due. OSP is in the process of documenting final report submission and closing the award.
Closed	Award Closed	The award is complete, all final reports have been submitted. OSP has closed the award.

Archived	Award Archived	The award is closed and the file has been moved to archival storage.
Destroyed	Award Destroyed	Archival requirements have expired. The archived documents have been destroyed.
Administratively Frozen	Award Administratively Frozen	OSP is waiting for additional information before the award can be released for further processing. Examples could include waiting for IRB or IACUC approval of protocols referenced in the proposal. Or, Award may be transferring out to another institution but relinquishment not finalized.
Not Awarded	Proposal Not Awarded	The proposal was not awarded by the sponsor.
Withdrawn	Proposal Withdrawn	The proposal was withdrawn from consideration.
Not Submitted by Institution	Proposal Not Submitted by Institution	The proposal was not submitted to the sponsor for review
Sponsor Notification Received		Currently Not Used

## Summary of Workflow Status “Groupings”


Proposal Project Grouping	Status Included
Proposal Under Development	Proposal Under Development
Proposal In Route	Proposal In Route
Proposal Delivered to OSP	Proposal Delivered to OSP, Proposal Team Assignment
Proposal Assign to Team Reviewer	Proposal Assign to Team Reviewer-Blue, Proposal Assign to Team Reviewer - Green, Proposal Assign to Team Reviewer - Red
Proposal Active Review	Proposal Active Review Normal, Proposal Awaiting Response Normal, Proposal Active Review Expedited, Proposal Awaiting Response Expedited
Proposal Finalization	Proposal Finalization
Proposal Under Sponsor Review	Proposal Under Sponsor Review
Award Under Negotiation	Award Under Negotiation, Award to Sponsor for Execution
Just in Time	Proposal Revised Budget Requested, Proposal Just-In-Time Requested
Awarded	Awarded, Award No Cost Extension 1, Award No Cost Extension 2
In Closeout	Award In Closeout
Closed	Award Closed, Award Archived, Award Destroyed
Not Awarded	Proposal Not Awarded, Proposal Withdrawn, Proposal Not Submitted by Institution
Administratively Frozen	Award Administratively Frozen
Under Review (remove)	REMOVE REMOVE REMOVE

# Office of Sponsored Programs Proposal Intake and Processing System Status



# Proposal Workflow Communications

- Updated IAF “Distribution” list serves as contact list for all email communications for the record

	<b>Virginia Commonwealth University</b> <b>Office of Sponsored Programs</b> <b>Office of Industry Partnerships</b>  <b>Internal Approval Form</b>	<b>For OSP/OIP Office Use Only</b>
		Date & Time: _____ OSP/OIP # _____ Copy Received: Yes <input type="checkbox"/> No <input type="checkbox"/> COI Form: Yes <input type="checkbox"/> No <input type="checkbox"/> Reviewer: _____
<b>PRINCIPAL INVESTIGATOR INFORMATION</b>		
Principal Investigator _____ (PI Name as it exists in HRS) Last Name First Name MI		
E-mail: _____ Note: This department will receive credit for the award.		
PI Phone # _____ PI Fax # _____ PO Box _____ Department _____		
FA Name/FA# _____ FA E-mail _____ FA Phone # _____		
Contact for Proposal Pickup _____ Contact E-mail _____ Contact Phone # _____		
Is the department listed above also managing the project's fiscal responsibilities? Yes: <input type="checkbox"/> No: <input type="checkbox"/> If no, please list the department responsible for fiscal management.		
Dept. for Fiscal Administration _____ FA Name _____		
Fiscal FA E-mail _____ FA Phone # _____		
Study Coordinator Name _____ E-mail _____		
Study Coordinator Phone # _____ Fax # _____		
Distribution List – Indicate email addresses to distribute documentation related to this proposal: _____ _____ _____		
<b>SPONSOR/AGENCY INFORMATION</b>		

# Proposal Workflow Communications

## Proposal Delivered to OSP

**VCU Memo**  
Virginia Commonwealth University

VCU Office of Sponsored Programs (OSP) received your proposal on **24-Aug-2009 08:30 AM**

- Project Title: **Computational and Experimental Analysis of Localized Aerosol Deposition in the Respiratory Tract**
- OSP Proposal Development/Tracking number assigned: **PT105061**
- Sponsor-published due date you have indicated: **17-Sep-2009**
- OSP Team assigned for review (based on department indicated on IAF for fiscal administration of project): **BLUE** Team at **OSPBLUE@vcu.edu**

We thank you for submitting your proposal for university-level review and approval and look forward to assisting you. Your OSP team will contact you by email/phone with any questions we may have about the proposal. If this is a hard copy proposal, we will contact you when the application is ready for pick up.

\*\*\*\*\*

Intake Specialist - Office of Sponsored Programs  
Government/Non-Profit Support  
Virginia Commonwealth University  
T: 804.828.6772; F: 804.828.2521  
Email: [dirospa@vcu.edu](mailto:dirospa@vcu.edu)  
\*\*\*\*\*

## Proposal Assigned to Reviewers

**VCU Memo**  
Virginia Commonwealth University

On behalf of VCU OSP's **GREEN** Team, I will be reviewing your proposal.

- Project Title: **Standoff Detection of Ionizing Radiation Using Radiation Sensitive Smart Dust**
- OSP Proposal Development/Tracking number assigned: **PT105058**
- Sponsor-published due date you have indicated: **25-Aug-2009**

If I have additional questions or comments for you, I will contact you by email or phone. If there are any other document/revisions you need to forward to me in connection with this review, please forward them all to me in a single email at this time. Please utilize the OSP team email address **OSPGREEN@vcu.edu** When the review and signature processes are complete, I will submit this proposal to the sponsor on behalf of the institution and forward a submission confirmation email to you.

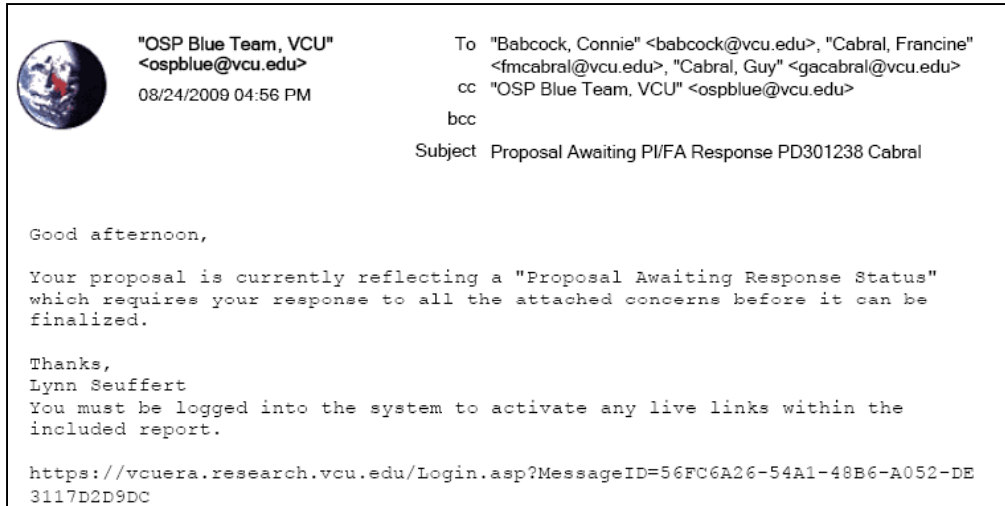
\*\*\*\*\*

**Kathy Gabriel**  
Office of Sponsored Programs  
Government/Non-Profit Support  
Virginia Commonwealth University  
T: 804.828.6772; F: 804.828.2521  
Email: [OSPGREEN@vcu.edu](mailto:OSPGREEN@vcu.edu)  
\*\*\*\*\*

These emails will be stored within the Communications Tab of the VCUera record

# Proposal Workflow Communications

## Proposal Awaiting PI/FA Response



<b>VCU</b> Memo	
Virginia Commonwealth University	
Office of Sponsored Programs	
To:	PI
From:	Team Reviewer
Date:	date of review
Subject:	OSP Review of Proposal, PT/PD#
Thank you for forwarding your proposal to the Office of Sponsored Programs for university-level review and signature. On behalf of VCU, I have reviewed your proposal and note the following concerns or questions which must be resolved prior to VCU Authorized Official signature and transmission of this proposal to the sponsor.	
<u>Internal Approval Form (IAF)/Conflict of Interest (COI)/Cost Share:</u>	
<ul style="list-style-type: none"><li>• Comment</li><li>• comment</li></ul>	
<u>Sponsor-published Guidelines and/or Program Announcement including formatting:</u>	
<ul style="list-style-type: none"><li>• comment</li></ul>	
<u>Budget and Budget Justification:</u>	
<ul style="list-style-type: none"><li>• no comments</li></ul>	
<u>Personnel, Committed Effort, Biosketches and/or VCU Identity:</u>	
<ul style="list-style-type: none"><li>• comment</li></ul>	
<u>Proposed Consortia and/or Consultants or Contractors:</u>	
<ul style="list-style-type: none"><li>• no comments</li></ul>	
<u>Miscellaneous:</u>	
<ul style="list-style-type: none"><li>• comment</li></ul>	
Please respond to all concerns in a timely manner so that we can resolve all concerns. If you will be sending pdf attachments, please send a single email response to the team email with all requested or changed pdfs. Please let me know by return email to __team email__ if you have any questions.	
OSP Review of Proposal Form – Version 8/13/09	

Our intention is to standardize our reviews as much as possible mindful that some proposals present unique considerations to address and resolve.

# Proposal Activity Report

Our intention is to post activity report to our website, by team, on daily basis.

OSP Activity Report											
Institution #	Date & Time In	Date to Sponsor	Deadline	OSP Team	OSP Reviewer	Department	Principal Investigator	Sponsor/ Award #	Status	Current Status Date/Time	Current Status Comments
PT104893	07/01/2009 04:30 PM	07/01/2009	07/07/2009	BLUE	Beth Demro	SOE Spec Ed and DP RRTC	Valerie Brooke	Department of Health & Human Services	Proposal Active Review Normal	07/06/2009	ARRA Funding with 20% matching required; using F&A reduction from 26% to 8% for matching
PT104915	07/09/2009 04:45 PM	07/09/2009		BLUE	Beth Demro	Microbiology and Immunology	Daniel Conrad	Luna Innovations	Proposal Active Review Normal	07/10/2009	
PT104902	07/23/2009 12:30 PM	07/07/2009		RED	Amanda Gray	Pediatrics	Howard Schmidt	Vertex Pharmaceuticals, Inc	Proposal Active Review Normal	08/25/2009	Reviewer changed to Amanda.
PT105014	08/06/2009 01:18 AM		08/08/2009	BLUE	Beth Demro	Human Genetics	Michael Miles	National Institutes of Health	Proposal Active Review Normal	08/06/2009	
PT105015	08/20/2009 12:30 PM	08/06/2009	08/26/2009	RED	Amanda Gray	Pediatrics	Linda Meloy	MedImmune, Inc.	Proposal Active Review Normal	08/25/2009	Reviewer changed to Amanda
PT105062	08/25/2009 10:17 AM		09/01/2009	GREEN	Jeanine Gies	Electrical and Computer Engineering	Umit Ozgur	Department of Energy	Proposal Active Review Normal	08/25/2009	no comment



# Future Plans to Electronic System

- Anticipate Upgrade of VCUERA system software from Base 9 to Base 12 in the fairly near future.
- Goal is for VCUERA to support and track all “transactions” being processed through OSP, i.e. every action within a sponsored project’s “master record” such as a carryforward request, no cost extension, progress report submission, subaward request, etc.— will be considered a transaction.
- Implementation likely before the end of this calendar year

## Departmental Grant Administrator Responsibilities

- In the face of additional changes to the electronic routing and submission of proposals and other sponsored project “transactions”...
  - Keep pace with electronic preparation and routing
  - Don’t assume only your PI needs to understand electronic submissions and you can focus only on paper submissions
  - Seek out training so your skills remain current
  - Ask informed questions of OSP staff

# General Communications to OSP:

<http://www.research.vcu.edu/osp/contactus.htm>

Office of Sponsored Programs Guide to Email Accounts:

When emailing OSP, please indicate the following in the subject line: **PI name, PT or PD #, Sponsor Name**

Inquiry/Action needed from OSP	Will be handled in OSP by...	Associated Email
Question about a Government/Nonprofit- sponsored proposal	Team assigned to PI's Department (Green Team or Blue Team)	<a href="mailto:ospblue@vcu.edu">ospblue@vcu.edu</a> , OR <a href="mailto:ospgreen@vcu.edu">ospgreen@vcu.edu</a> as appropriate
New industry-sponsored proposals, contracts, confidentiality agreements and awards	Red Team	<a href="mailto:ospred@vcu.edu">ospred@vcu.edu</a>
IT or VCUeRA system/technical problem with proposal	Office of Research IT Staff	<a href="mailto:erahelp@vcu.edu">erahelp@vcu.edu</a>
To inquire about the status of a Proposal (remember, Intake emails PI/FA when proposal arrives to OSP, Team Reviewer emails PI/FA when proposal is actually picked up for review)	Intake Specialist or Team assigned to PI's Department	
To inquire about the status of an industry sponsored proposal, contract or confidentiality agreement review	Assigned Red Team Reviewer	
Electronic proposals: If sponsor requires Email for VCU Authorized Official	Please use...	<a href="mailto:dirospa@vcu.edu">dirospa@vcu.edu</a>
To deliver a non-VCUeRA Electronic proposal package to OSP for review and/or submission	Email signed IAF, COI, internal budget and electronic package to Intake Specialist at	<a href="mailto:dirospa@vcu.edu">dirospa@vcu.edu</a> Subject line: (PI Name) Electronic Application is Ready for Review and Approval
To inquire about the status of Just-in-time Report submitted to OSP	Team assigned to PI's Department (Green Team or Blue Team)	<a href="mailto:ospblue@vcu.edu">ospblue@vcu.edu</a> , OR <a href="mailto:ospgreen@vcu.edu">ospgreen@vcu.edu</a> as appropriate
To inquire about the status of a Government/Nonprofit Contract or Contract Modification review	Team assigned to PI's Department	<a href="mailto:ospblue@vcu.edu">ospblue@vcu.edu</a> , OR <a href="mailto:ospgreen@vcu.edu">ospgreen@vcu.edu</a> as appropriate
To inquire when a received Award will be processed	Team Assistants/Post Award Manager	<a href="mailto:ospaward@vcu.edu">ospaward@vcu.edu</a>
Question about an Award already processed in VCUeRA, i.e. issues with the processing of the award	Team Assistants/Post Award Manager	<a href="mailto:ospaward@vcu.edu">ospaward@vcu.edu</a>
Question about a Subaward encumbrance	Team Assistants/Post Award Manager	<a href="mailto:ospaward@vcu.edu">ospaward@vcu.edu</a>
To inquire on status of Progress report forwarded to OSP	Team assigned to PI's Department (Green Team or Blue Team)	<a href="mailto:ospblue@vcu.edu">ospblue@vcu.edu</a> , OR <a href="mailto:ospgreen@vcu.edu">ospgreen@vcu.edu</a> OR <a href="mailto:ospred@vcu.edu">ospred@vcu.edu</a> as appropriate
To inquire about a Close Out Request	Team Assistants/Post Award Manager	<a href="mailto:ospaward@vcu.edu">ospaward@vcu.edu</a>
To process Effort Change request on an Award within VCUeRA	Complete form at <a href="http://www.research.vcu.edu/forms/osp.htm">http://www.research.vcu.edu/forms/osp.htm</a>	Completed form will route to <a href="mailto:dirospa@vcu.edu">dirospa@vcu.edu</a> and will be processed by post award team
To relay Banner index code information to OSP	Team Assistants/Post Award Manager	<a href="mailto:ospaward@vcu.edu">ospaward@vcu.edu</a>
To process a No Cost Time Extension Request to the sponsor	Complete form at <a href="http://www.research.vcu.edu/forms/osp.htm">http://www.research.vcu.edu/forms/osp.htm</a>	Completed form will route to <a href="mailto:dirospa@vcu.edu">dirospa@vcu.edu</a> and will be processed by appropriate team
To inquire if Sponsor-Approved No Cost Extension has been Processed in VCUeRA	Team Assistants/Post Award Manager	<a href="mailto:ospaward@vcu.edu">ospaward@vcu.edu</a>
To process a No Cost Extension for an Industry Fixed Price Agreement	Red Team	<a href="mailto:ospred@vcu.edu">ospred@vcu.edu</a>
To convey that a proposal will NOT be funded by sponsor	Team Assistants/Post Award Manager	<a href="mailto:ospaward@vcu.edu">ospaward@vcu.edu</a>
To register for training offered by OSP	Check for opportunities on our website: <a href="http://www.research.vcu.edu/osp/training.htm">http://www.research.vcu.edu/osp/training.htm</a>	Use email indicated at website.
Questions about Banner Accounts or FSR issues	Contact Grants and Contracts Accounting	<a href="mailto:VCUGRANTS/CONTRACTS/GA/VCU@VCU.edu">VCUGRANTS/CONTRACTS/GA/VCU@VCU.edu</a>
Questions about human or animal subjects or approvals	Contact Office of Research Subjects Protection	<a href="http://www.research.vcu.edu/orsp/index.htm">http://www.research.vcu.edu/orsp/index.htm</a>

Office of Sponsored Programs; 5/19/2009

End of Sponsored Programs Presentation

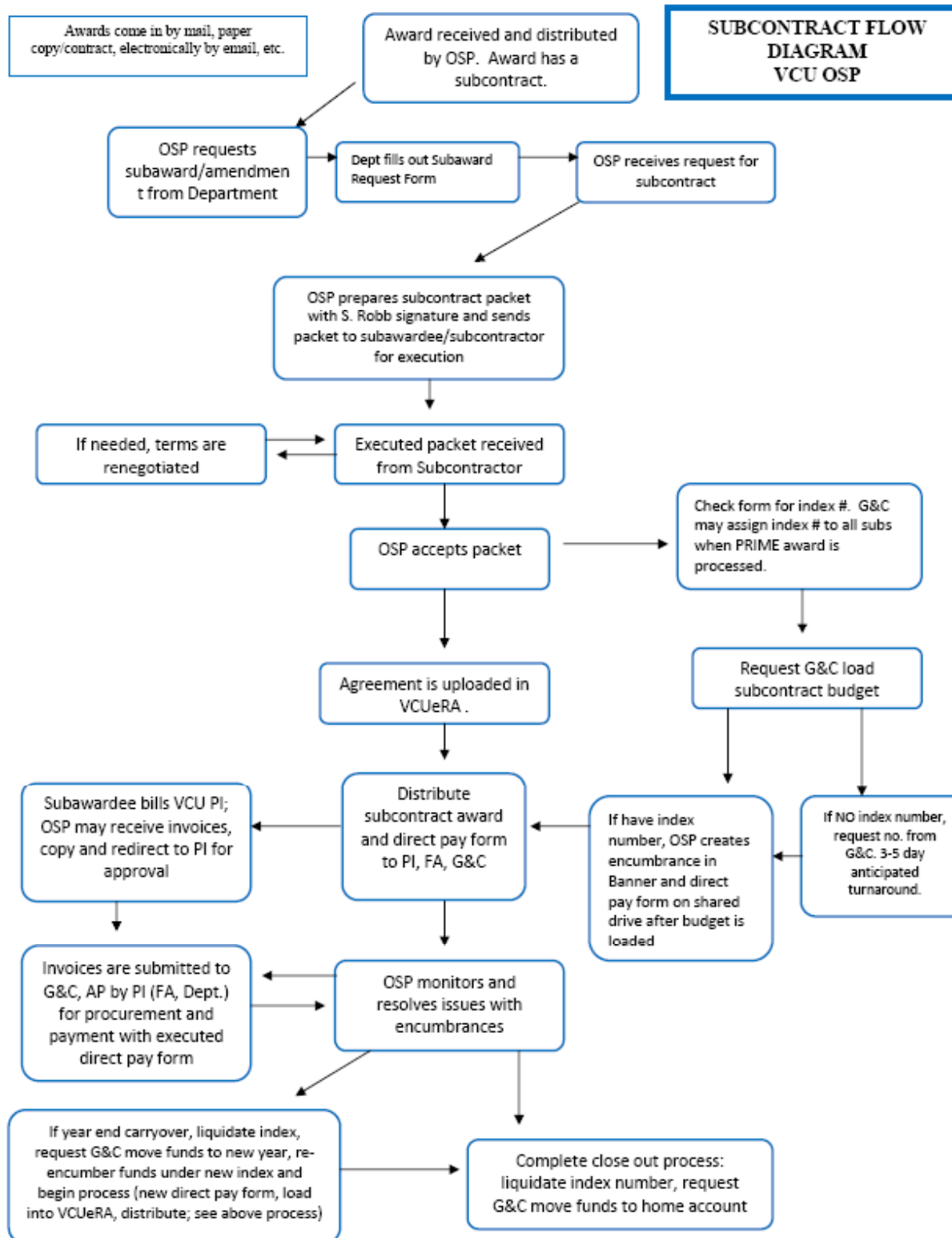


Thank you and good luck.

# Sub Award Update

Erica M Lawler

Post-Award Manager



# What is an Encumbrance?

**A Checking Account for Subs**

**Not a contingency fund!**



# Encumbrance Elements

From the Sub-award Request Form\*

## **Subaward Agreement Information:** *(Items in bold must be completed)*

**Period of Performance (this action):** Start Date: \_\_\_\_\_ End Date: \_\_\_\_\_

**Amount Funded This Action:** DC \_\_\_\_\_ IC \_\_\_\_\_ Total \_\_\_\_\_

**Estimated Total for Entire Project:** \_\_\_\_\_

**Project Title:** \_\_\_\_\_  
\_\_\_\_\_

**Special Notes to OSP** \_\_\_\_\_

## Grants & Contracts Accounting:

**Banner Organization (Index) Code for this Subaward:** \_\_\_\_\_

\*This number is required for further processing of the award, no further processing will occur until it is received by OSP. Please provide indices for both the HOME account and the Subaward account.

**Fiscal Technician** \_\_\_\_\_

**\*Where do I find this form?** <http://www.research.vcu.edu/forms/osp.htm>



# Adjusting an Encumbrance

## When a sub Encumbrance should be adjusted

The Prime award has been reduced or terminated early.

An incrementally-funded award's index # has expired and there's a balance to be carried forward

The sub-recipient's performance is slow-paced and they won't spend the amount awarded for the period

The sub-recipient has completed all work but there's a balance on the encumbrance

## How to go about it...the right way!

Contact [ospaward@vcu.edu](mailto:ospaward@vcu.edu) and submit a Sub-award Amendment Request Form\*

Contact [ospaward@vcu.edu](mailto:ospaward@vcu.edu) and submit a Sub-award Amendment Request Form\*

Submit a Sub-award Amendment Request Form\* to [ospaward@vcu.edu](mailto:ospaward@vcu.edu)

Submit a copy of the final invoice marked "FINAL" to [ospaward@vcu.edu](mailto:ospaward@vcu.edu). We'll remove the balance

# G&C Reminders

- Request an advance index while waiting for the award notice and the program performance has started.
- Check expenses monthly for overages (deficits).
- Complete and return closeout paperwork on a timely basis.
- Clear encumbrances on ended index codes.
- Provide copies of invoices sent to agencies or billing information on patient studies.

# G&C Reminders

- Provide documentation to accompany invoices to agency, when necessary.
- Send all agency checks to Grants & Contracts same day as received.
- To be proactive in reviewing Effort Certifications prior to the release date.
- Periodically pull the Certification Status Report for uncertified cards.
- Have certifiers (manually or electronically) certify as part of their exit procedures.

# It's Time for the Top Ten!!!

From the home office at the Biotech Park.....Today's Topic – The Top Ten Problems OSP Encounters for Proposal Review and Submission

10. VCUeRA (electronic submission) Biosketches that still include footers/headers
9. Budget Justifications for federal applications that do not include CAL, ACAD, SUM effort designations for all personnel
8. Due dates in VCUeRA system are not verified
7. Replacement of numerous pdf documents after delivery to OSP/late document changes
6. Queries about proposal receipt despite receipt notification from intake

5. Incomplete profiles for personnel, improper data entry for subawardees and consultants
4. Electronic proposals routed and received less than 5 days before deadline
3. Science not finalized until due date – should be three days before
2. Multiple status inquiries received from the same group, i.e., PI, FA, lab tech, Department Chair, Dean, PI's Mom, Former Girlfriends, etc

And the Number 1 Problem OSP Encounters in Proposal Review and Submission

1. Subcontractors included in project but no mini-packet included