Overview of Sponsored Research

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Lifecycle of a Sponsored Project

Proposal and Negotiation

Award Receipt and Set-up

Research and Spending

Closeout

Reportng and Billing

Sponsored Program Proposals

George Mason Research Portfolio

Total Value of Proposals, FY 2009 - 2019

<table>
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<tr>
<th>Year</th>
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Sponsored Program Awards

Total Value of Awards, FY 2009 - 2019

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Sponsored Program Expenditures

Total Value of Expenditures, FY 2009 - 2019

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Sponsored Expenditures by Type

FY19 Sponsored Expenditures by Sponsored Type

- Federal: $56,795,833
- Federal pass-thru: $13,450,836
- Foundations: $11,438,650
- Industry: $11,483,450
- State (includes SCHEV & State Research funds): $6,956,878
- Other: $5,485,293
- Association/Non-Profit: $3,498,297
- Local Governments/Schools: $3,231,841
- Foreign Entities: $2,104,184
- Association/Non-Profit: $1,748,531

FY19 Expenditures: $143,661,995

Federally Sponsored Expenditures

FY19 Sponsored Expenditures by Federal Agency (including Federal Pass-Through)

- Department of Defense: $20,290,028
- National Science Foundation: $2,104,184
- Department of Health and Human Services: $2,127,947
- Other Federal Agencies: $3,498,297
- National Aeronautics & Space Administration: $5,485,293
- Department of Education: $11,438,650
- Small Business Administration: $11,448,636
- Department of Transportation: $13,408,636
- Department of Commerce: $13,408,636
- Department of State: $13,408,636
- Department of Justice: $13,408,636

FY19 Federal Expenditures: $117,477,626
George Mason Research Strategy

2014 - 2024

Elevate Research
- Achieve Carnegie Very High Research
- Improve research infrastructure
- Increase PhD graduates and decrease time to degree

Research of Consequence
- Invest in research areas of great societal, economic and global consequence
- Create at least five multidisciplinary institutes
- Translate discoveries to society

Carnegie Research Classification

- Three research categories: Highest Research, Higher Research and Moderate Research
- Evaluation and updates for research occurs approximately every 5 years
- 115 institutions in the Highest Research category also known as Research 1
- George Mason moved into the Highest Research category in February 2016

Current Challenges

- Increased competition for funding
- Competing priorities and tight budgets
- Different types of funding sources may result in challenging negotiations
- Inconsistent sponsor requirements and systems
- More stringent reporting requirements
- Closer audit scrutiny from sponsors

Regulatory Environment and Reducing Administrative Burden
Regulatory Environment

- OMB published “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards” December 2014

Federal Demonstration Partnership

- FDP began in 1986 and is a cooperative initiative among 10 federal agencies and 155 research institutions; Mason joined FDP in 2008
- FDP is focused on reducing the administrative burdens associated with research
- 2005 FDP survey of over 6,000 faculty reported that 42% time on federal awards spent on administrative tasks
- 2011 FDP survey of over 13,000 faculty similar results

Reducing Admin. Burden for PIs

FDP Pilot on Payroll Certification
- Mason was the first of 4 universities to pilot an alternative to effort reporting in 2011
- Concept is intuitive and implementation required minimal investment and training
- NSF/HHS audit of payroll certification started in 2013 and finalized Nov 2015
- Significant reduction in administrative burden (90% reduction in the number of certifications) while at the same time strengthening controls
- Big win for Mason and the research community
Research Policies and Compliance

Compliance

- Sponsored funds are not ours, so we are accountable to sponsors, taxpayers, Congress, etc.
- Need to make sure sponsored funds are being used for their intended purposes
- Nobody wants to see Mason on the front page of the newspaper related to the inappropriate use of research funds
- We all have a role with ensuring compliance with project requirements

George Mason Research Policies

• 4001 - Conflict of Interests
• 4002 - Copyright in University Works
• 4003 - Patenting University Inventions
• 4004 - Occupational Health and Safety Program for Animal Care and Use Personnel
• 4005 - Cost Transfer Policy
• 4006 - Sponsored Programs Administration
• 4007 - Misconduct in Research and Scholarship
• 4008 - Private Sector and Foundation Funding to George Mason University and the GMUF
• 4009 - Subrecipient Monitoring Policy
• 4010 - Ownership and Maintenance of Research Records
• 4011 - Principal Investigators
• 4012 - Fixed Price Agreements
• 4013 - Payroll Certification on Federally Sponsored Projects
• 4014 - Cost Sharing
• 2105 - Research Involving Human Subjects
• 2106 - Direct and Indirect Cost Allocations Under OMB Uniform Guidance
• 2114 - Reconciling Departmental and Sponsored Fund Accounting Records

Roles and Responsibilities
Roles and Responsibilities

• We all have a role in managing sponsored projects:
  – Principal Investigator
  – Deans, Associate Deans and other College Personnel
  – Department Administrators
  – OSP
  – RDIA
  – HR
  – Fiscal Services
  – ITS
  – Other Central Offices

• Roles and Responsibilities Matrix

Research Administration at Mason

Trying to do more with less resources

Some examples of initiatives at Mason to improve research support, streamline processes and increase efficiencies:

• Focus on professional development
  – Incentive program for OSP staff completing the national Certified Research Administrator program (12 successfully completed over the past 5 years)
  – Reduced turnover in OSP

• Increased efforts on outreach and training across Mason

• Investment in technology
  – 50% reduction in award setup time
  – Elimination of redundant data entry and automate routine tasks
  – Reallocate resources to more value-added activities

OSP Reorganization – Why did we Change?

• Efficiency: Combined pre and post award teams eliminates unnecessary handoffs across teams.

• Collaboration: Teams work more closely with the academic units to better understand unit specific policies. OSP and units work together to develop a working model that best serves the faculty and is sustainable as research grows.

• Retention and Career Growth: Provides an opportunity for the top performers to take on more responsibility and grow professionally without having to leave OSP.

• Consistency: Allows faculty to work with the same core group of administrators.

OSP Roles and Responsibilities

Proposal Management

• Proposal preparation and submission
• Ensure proposals comply with sponsor and university policies
• Institutional Certifications
• Current and Pending
• Non-Financial post award activities such as no-cost extensions, increment requests, PI changes and transfers
OSP Roles and Responsibilities

Award Management
• Award set-up
• Funding changes for sponsored funds
• Expenditure review
• Guidance on sponsor and award requirements

Contracts
• Negotiation of subcontracts
• Subrecipient monitoring
• Prepare agreements such as NDAs, Teaming Agreements, MOUs, etc.
• Review terms and conditions
• Maintain records of award negotiation and status in database

Reporting and Billing
• Financial reporting
• Billing
• Closeout

College Perspective: Purpose
• Advance and support academic excellence: teaching, research and service by faculty
• Secure external resources
• Provide opportunities for students
• Raise profile of the university & region
• Recruit/retain faculty, staff & students
• Create vibrant research and scholarly community

Training and Outreach

Systems Administration and Reporting
College Perspective: Faculty

- Intrinsic rewards – satisfy curiosity, desire to learn, understand, contribute, teach, mentor
- Extrinsic rewards – academic excellence, recognition, P&T, community of scholars
- Encourage conversations about scholarly interests, seed funds, RD, recognition, admin infrastructure to support their work

College Perspective: Organization

- Colleges are organized differently, some common elements may include:
  - Associate Dean for Research
  - Pre-Award: Budget development, liaison with departments/OSP
  - Post-Award: Key leadership with departments/OSP on fiscal/policy matters

College Perspective

How do we accomplish our work?
- The department administration is critical
- Department admins work closely with their faculty and with their Dean’s Office
- A good understanding of RA best practices and university procedures helps to achieve goals and manage projects effectively
- Department admins’ knowledge and skill help PIs and grant teams achieve fiscal compliance

College Perspective

Department Challenges and Opportunities
- Stay current with fiscal policies and procedures of the university and sponsors
- Pre-award: budget development/project expenses
- Post-award: monitor expenditures, reconcile funds, keep proper documentation, track due dates
- Proactively work with Dean’s Office and OSP
- Ensure clear communication on grant related matters
Final Thoughts

- Research administrators play a critical role in the research mission of the university
- Hard work, flexibility, perseverance, attention to detail, good communication skills and reliability are qualities found in successful research administrators
- Understand your areas of responsibility
- Develop good communication with your PIs
- Know what tools and resources are available
- Commitment to continuous learning and training is the key to success!