

KPMG - NACUBO - SRA

Benchmarking Performance and Best Practices for Sponsored Projects Administration

Performance Data Collection Questionnaire 2000 Data Collection

THE PURPOSES OF THIS PROJECT

KPMG Consulting LLC, NACUBO, and SRA have jointly undertaken the development of a national benchmarking and best practices program in sponsored projects administration. The goal is to provide institutions with a basis for more quantitative and systematic self-analysis of research competitiveness, efficiency, and administrative stewardship. This data collection effort has the following objectives:

1. To provide data on a common set of performance measures and practices that will allow meaningful comparisons with other sponsored projects organizations and with peer groups of institutions;
2. To develop a longitudinal database for use by participants to examine trends over time; and
3. To provide a baseline for systematic analysis of various sponsored projects administrative practices.

PLEASE READ THE CRITICAL DEFINITIONS WHICH ACCOMPANY QUESTIONS.

This Survey is for your institution's Fiscal Year 2000.

Demographics and Contact Information

Responses should be institution-specific, not for a “system” or a number of institutions at varying locations, unless this is specifically noted below

Institution*	
Name of Respondent	
Title of Respondent	
Address	
City	
State	
Zip	
Phone Number	
Fax Number	
E-Mail Address	
Public/Independent	
Enrollment	
Carnegie Class (circle one)	Research I, Research II, Doctoral I, Doctoral II, Masters I, Masters II, Specialized
Medical School* *(circle one)	Yes / No
Land Grant (circle one)	Yes / No
Minority Institution (circle one)	Yes / No

**If you identify your institution as having a medical school in this section, the data for the medical school should be included in all of the following responses.

**The following definitions should be applied to Questions No. 1 and 2 (Central Administration Costs and FTEs
- GENERAL SPONSORED PROJECTS ADMINISTRATION)**

For the purposes of this questionnaire, General Sponsored Projects Administration includes the following major sets of functions. If there are any exceptions to the representative activities for a specific question and they constitute more than 10 percent of your department's activity, please provide a note in the comments section.

Depending on your organizational structure, it may be necessary to report information for both an academic entity and one or more affiliated organizations such as a research foundation. The institution's reporting practices should parallel those used for the NSF Survey of Expenditures for Research and Development.

General Sponsored Projects Administration: This refers to both: (A) Pre-Award functions and (B) Post-Award *non-financial administration* functions as follows:

- A. The *Pre-Award* function** includes all activities that lead to the award of a sponsored project, grant or contract, and the accompanying initial budget planning and financial management activities. It includes the following *representative* activities, which would normally be performed by the institution's central sponsored projects office :
- Disseminating information on funding opportunities to principal investigators (P.I.s)
 - Assisting with proposal preparation tasks
 - Logging and tracking proposals and awards
 - Assisting with, reviewing, and approving proposals and budgets
 - Copying, mailing or electronically submitting proposals
 - Negotiating terms and conditions for contracts and grants
 - Logging and tracking award notices
 - Setting up initial accounts and accounting entries (if this is not done by a post-award financial office)
- B. The *Post-Award Non-Financial* functions** include activities not involving financial management which support and facilitate research projects and activities. The following are *representative* activities, which would also be performed by the institution's central sponsored projects office:
- Notifying principal investigators of awards
 - Preparing public relations information about sponsored projects
 - Ensuring regulatory compliance regarding biohazards and use of human and/or animal subjects
 - Approving no-cost extensions and requests for increased funding
 - Monitoring progress and non-financial reporting requirements, patent requirements, and other rebudgeting approvals
 - Preparing and monitoring consulting and subcontracting agreements
 - Coordinating and monitoring close-out activities
- C. For the purposes of this Definition General Sponsored Projects Administration does not include:**
- Technology transfer functions and activities
 - Management and operation of IRB's animal care and use committees, radiation safety committees, or other regulatory compliance activities.

Question No. 1: Central Administration Costs - General Sponsored Projects Administration

Explanation: The total actual direct expense for the central administration in FY 2000 which can be directly attributed to General Sponsored Projects Administrative activities. Report gross costs actually incurred - do not offset them by revenue. These costs will be used to calculate the cost efficiency ratios for central sponsored projects administration.

Include: Direct costs, such as:

- Salaries
- That portion of salaries of staff at the level of vice-president (or equivalent) or higher that is attributable to the day-to-day management of the function (Drop down note in web system: In smaller institutions, vice presidents may be involved in day-to-day SPA management activities. The time spent on those activities should be included as direct costs)
- Benefits, including insurance, investment/retirement plans, tuition remission, child care, workers' compensation, unemployment, FICA, paid sabbaticals and paid leaves of absence, and any benefits paid from a central budget
- Wages
- Supplies
- Telephone charges
- Postal costs
- Computer costs
- Central computing chargebacks
- Outsourced costs
- Contracted costs
- College work study student wages (regardless of the source of funds)
- All other expenses (regardless of the source of funds), restricted, unrestricted, budgeted or unbudgeted.

Exclude:

- Costs allocable to technology transfer activities
- Costs allocable to coordination of IRB, or other regulatory compliance committees
- Internal allocation of central expenses (e.g. rent, utilities)
- Capital costs
- Debt service
- That portion of salaries of staff at the level of vice-president (or equivalent) or higher that is not attributable to day-to-day management of the function
- Any extraordinary costs incurred in FY 2000 that may decrease the comparability of your data to that of other institutions.

Answer Box:

Question No. 2: Central FTEs - General Sponsored Projects Administration

Explanation: The Central Administration total FTEs in FY 2000 dedicated to activities involved in General Sponsored Projects Administration. Use the institution's normal procedure for calculating full-time equivalents. *The costs reported in Question 1 should generally reflect costs associated with the staff and activities of the FTE's reported here. These data will be used to calculate the staffing and workload ratios.*

Include:

- Part-time and full-time employees
- Professional and support staff
- Staff at the level of vice president (or equivalent) and higher who are involved in day-to-day management of the function
- Paid or unpaid student workers (work study students, interns, graduate assistants)
- Temporary employees on the institution's payroll
- Outsourced and contracted FTEs

Exclude:

- Staff at the level of vice president (or equivalent) and higher who are not involved in day-to-day management of the function
- FTE dedicated to coordination of regulatory compliance activities
- FTE dedicated to technology transfer activities

Answer Box:

The following definition should be applied to question No. 3 and 4 (Central Administration Costs and FTEs - Post-Award Financial Administration)

Post-Award Financial Administration. For the purposes of this questionnaire, this includes functions such as cash management, coordinating, managing, and reviewing sponsored projects accounts to assure appropriate management of funds. It would encompass the following *representative* activities, which would normally be performed by the institution's sponsored projects accounting office:

- Performing grant forecasting, maintaining grant and contracting accounting records
- Setting up initial accounts and accounting entries (if this is not done by a sponsored programs administrative office)
- Monitoring budgets
- Maintaining property management systems
- Managing A-21, A-110 and A-133 compliance
- Performing cash management activities (including letter of credit draw downs, invoicing, deposits, and collections)
- Reviewing, approving, and monitoring all expenditures for appropriateness
- Preparing reports (including financial, effort, and equipment)
- Reviewing and approving cost transfers
- Coordinating audits by external auditors
- Approving establishment of and monitoring recharge center financial activities

Depending on your organizational structure, it may be necessary to report information for both an academic entity and one or more affiliated organizations such as a research foundation. The institution's reporting practices should parallel those used for the NSF Survey of Expenditures for Research and Development.

If there are any exceptions to the representative activities for a specific question and they constitute more than 10 percent of your department's activity, please provide a note in the comments section.

Question No. 3: Central Administration Costs - Post-Award Financial Administration

Explanation: The total actual direct expense for the Central Administration in FY 2000, which can be directly attributed to Post-Award Financial Administration activities. These costs will be used to calculate the cost efficiency ratios.

Include: Direct costs, such as:

- Salaries
- Salaries of staff at the level of vice-president (or equivalent) or higher who are involved in the day-to-day management of the function
- Benefits, including insurance, investment/retirement plans, tuition remission, child care, workers' compensation, unemployment, FICA, paid sabbaticals and paid leaves of absence, and any benefits paid from a central budget
- Wages
- Supplies
- Telephone charges
- Postal costs
- Computer costs
- Central computing chargebacks
- Outsourced costs
- Contracted costs
- College work study student wages (regardless of the source of funds)
- All other expenses (regardless of the source of funds), restricted, unrestricted, budgeted or unbudgeted.

Exclude:

- Salaries of staff at the level of vice-president (or equivalent) or higher who are not involved in day-to-day management of the function
- Costs incurred to conduct facilities and administrative cost studies and prepare indirect cost rate proposals
- § Internal allocation of central expenses (e.g. rent, utilities)
- § Capital costs
- § Debt service, or any extraordinary costs incurred in FY 2000 that may decrease the comparability of your data to that of other institutions

Answer Box:

Question No. 4: Central FTEs - Post-Award Financial Administration

Explanation: *The costs reported in Question 3 should generally reflect costs associated with the staff and activities of the FTE's reported here. The Central Administration total FTEs in FY 2000 dedicated to activities involved in the Post-Award Cycle. Use the institution's normal procedure for calculating full-time equivalents.*

Include:

- § Part-time and full-time professional and support staff
- Staff at the level of vice-president (or equivalent) or higher who are involved in the day-to-day management of the function
- Paid or unpaid student workers (work study students, interns, graduate assistants)
- § Temporary employees on the institution's payroll
- § Outsourced and contracted FTEs

Exclude:

- § Staff at the level of vice president (or equivalent) and higher who are not involved in day-to-day management of the function
- § Staff FTE dedicated to preparation of F and A cost proposals

Answer Box:

Question No. 5: From Institution's Most Recent Facilities and Administrative Cost Proposal, Provide the following data:

Explanation: The purpose of this question is to attempt to identify the relative proportion of central costs to unit-level costs for sponsored projects administration functions. These data will be used to determine the proportion of central costs vs. unit-level costs for sponsored programs administration

A: Total Annual Central Administration Costs Allocated to Sponsored Programs.

Answer Box:

B: Total Annual Departmental Administration Costs Allocated to Sponsored Programs.

Answer Box:

Question No. 6: Number of Proposals Submitted

Explanation: The total number of proposals for sponsored projects submitted by the institution to external sponsors in FY 2000. This response will be used to calculate General Sponsored Projects Administration workload ratios.

NOTE: Every funded project must have at least one proposal counted for it. The answer for this question *should not be less* than the answer for question 8, the number of awards. An industry sponsored projects such as a clinical trial must have a proposal counted for it, even if a formal proposal has not been requested by the sponsor nor administratively processed.

Include:

- All proposals that received institutional approval, including proposals that did not get funding
- Resubmittals (A resubmittal occurs when the original proposal is declined, then another proposal based on the declined proposal is submitted later)
- Non competing continuing proposals

Exclude:

- Revised budgets (If the proposal is essentially accepted, except for budget or other minor revisions, do not count it as a separate proposal)

Answer Box:

Question No. 7: Number of New or Competitive Renewal Proposals Submitted

Explanation: Of the number reported in question 6 above, how many are either new or competitive proposals? This number will be used to calculate success rates on submitted proposals. *The response here is a subset of the response to question 6.*

Include:

- All proposals for new projects or competitive renewals which received institutional approval, including proposals that did not get funding, including submissions to multiple sponsors
- Resubmittals (A resubmittal occurs when the original proposal is declined, then another proposal based on the declined proposal is submitted later)
- Industry sponsored projects such as clinical trials must have a proposal counted for it, even if a formal proposal has not been requested by the sponsor or administratively processed

Exclude:

- Non-competing and incremental funding actions
- Revised budgets (If the proposal is essentially accepted, except for budget or other minor revisions, do not count it as a separate proposal)

Answer Box:

Question No. 8: Number of Awards

Explanation: The total number of grants, agreements, and contracts that received funding in FY 2000. This number will be used to calculate post-award workload ratios.

In general, this number reported here *should not be more than the number reported for question 6*. Count each award that received funding

Awards that are divided into separate internal projects count as one award.

Answer Box:

Question No. 9: Number of New Awards and Competitive Renewals.

Explanation: Of the number reported in Question 8 above, how many are either new awards or competitive renewals? This number will be used to calculate success ratios. *This response is a subset of the response to question 8.*

Awards that are divided into separate internal projects count as one award.

Answer Box:

Question No. 10: Faculty, staff, and administrators who are allowed to be investigators

Explanation: The total research-performing FTEs employed by the institution for FY 2000, regardless of the source of funds from which they are paid. This number will identify the size of the potential research and sponsored projects-performing community. It will be used to compute sponsored project and proposal activity ratios. Research and sponsored projects should be defined as inclusive of all scholarly and creative activities (research), and all service and teaching activities for which external funding is received.

Include:

- Research-performing employees are those whose specific assignments customarily are made for the purpose of conducting instruction, research, or public service as a principal activity (or activities), and who hold academic-rank titles of professor, associate professor, assistant professor, instructor, lecturer or the research equivalent of any of these ranks. (A faculty member does not necessarily have to have student contact)
- Deans, directors, associate deans/assistant deans, department chairs or heads who hold faculty rank or are otherwise eligible to do research
- Faculty FTEs on paid leave or sabbatical
- Adjunct faculty (if allowed to be investigators)
- Clinical faculty eligible to be involved in sponsored projects
- Replacements for faculty FTEs on paid leave or sabbatical (if allowed to be investigators)

Exclude:

- Adjunct faculty (if not allowed to be investigators);
- Clinical faculty not eligible to be involved in sponsored projects
- Staff professional employees (such as counselors, coaches, lawyers, admissions and registrar officers)
- Replacements for faculty FTEs on paid leave or sabbatical (if not allowed to be investigators)

Answer Box:

Question No. 11: Number of Funded Principal Investigators

Explanation: This number will be used in service ratios for pre- and post-award financial management. Report the total number of research-performing employees listed as principal investigator or project director, or co-PI/PD on sponsored projects active as of end of FY 2000. Do not count an individual more than once.

Include:

- Those investigators whose projects were active and funded at the end of FY 2000, whether or not the projects received funding in FY 2000.

Answer Box:

Question No. 12: Number of Funded Grants, Agreements, and Contracts

Explanation: This number will be used to calculate post-award workload ratios and annual unit costs of post-award financial management functions. Report the total number of projects active as of June 30, 2000, or the last day of the fiscal year ending in 2000. Sub-projects of large, multi-project grants (NIH program-project grants or NSF center grants, for example) should be counted as individual projects.

Exclude:

- § Awards that are divided into separate internal accounts for each fiscal year of their life should count as one award.
- § Inactive accounts

Answer Box:

Question No. 13: Sponsored Project Accounts Receivable more than 120 Days

Explanation: This number is intended to be a measure effectiveness of sponsored projects receivable collections. Report the percentage of sponsored projects accounts receivable that are 120 days or older as of the end of FY 2000.

Answer Box:

Question No. 14: Sponsored Project Expenditure Dollars FY 1995-2000

Explanation: The total amount reported as expenditures for sponsored project purposes in FY 2000, FY 1999, FY 1998, FY 1997, FY 1996, and FY 1995.

Include:

- Federal, state, local, and private grants, agreements and contracts and direct and indirect expenditures.
- If expenditure data for FY 2000, is not immediately available, please provide data for the remaining fiscal years with your initial report, and submit the FY 2000 expenditure data when available.

Note: If you cannot separate awards into these categories, please note in a comment below and indicate which category has combined information.

- THE TOTAL PER YEAR FOR YOUR INSTITUTION IS THE IMPORTANT NUMBER TO REPORT.
- For sources of funds, record your institution's immediate, specific sponsor. (Drop down box in web system: For example: If a federal agency makes a grant to private industry, and the private company subcontracts part of that grant to your institution, the source of funds that you record is the private company.) (Another drop down box in web system: To record sources of funds: Federal Government should include all U.S. Government agencies, Industry should include for-profit organizations, State Government should include all state funds, and Other Please should include all other sponsors).

Answer Box:

	Year	Federal Government	State Government	Industry	Other	Total
A.	2000					
B.	1999					
C.	1998					
D.	1997					
E.	1996					
F.	1995					

Question No. 15: Top Three Federal Agencies Making Awards by Dollar Amount Awarded for FY 2000

For multiple-year awards, count only the amount awarded for the current year of the project period, not the total approved

(Drop down box on web system includes list of sponsors from which the school will choose, including: Department of Defense, HHS-NIH; HHS-non NIH; Dept of Education, Department of Energy, etc.)

Name of Agency	Dollar Amount Awarded

Question No. 16: Total Institutional Expenditures

Explanation: The total expenditures for all purposes for FY 2000.

Use data provided for IPEDS (line B-12 for Independent institutions, line B22 for Public institutions).
Report in whole numbers (to the nearest dollar).

Answer Box:

Question No. 17: Number of Research Centers and Institutes

Explanation: Centers and institutes are defined as institutionally approved administrative units that are established for the purpose of furthering research. In most cases, centers and institutes will have a specified mission and restricted focus. Report the number of research centers and institutes that showed any sponsored program expenditures during fiscal year 2000.

Answer Box:

Question No. 18: Division of Functional Responsibilities

This question is intended to provide a profile of how your institution is structured to conduct sponsored projects administration.

Refer to the definitions on pages 2 and 3. Please check the box that most closely reflects your institution's structure for sponsored projects administration.

Type	Description	Check
Type 1	General Sponsored Projects Administration office reports to or through chief academic or research office. Post Award Financial Administration reports to or through controller, chief financial officer, or chief administrative officer.	
Type 2	General Sponsored Projects Administration and Post Award Financial Administration functions are combined under a single office or authority reporting to the chief academic or research officer.	
Type 3	General Sponsored Projects Administration and Post Award Financial Administration functions are combined under a single office or authority reporting to the controller, chief financial or administrative officer.	
Type 4	General Sponsored Projects Administration and Post Award Financial Administration functions are combined under a single office with dual reporting lines. Please specify:	
Other	Please describe:	

Question 19: Degree Of Functional Decentralization

For the sponsored programs administration functions listed below, please indicate below your estimate of the division of effort by percentage between the staff in central sponsored projects administration, the specific school/college receiving grants, and the departments within the schools receiving the grants. The percentage effort should add across to 100%. Since your responses will be estimates across many units, try to "weight" your estimates to reflect what occurs in the most research-intensive colleges and departments.

Function	Departmental	School/College	Central	Total
Disseminating information on funding opportunities to principal investigators (P.I.s)				100
Assisting with proposal preparation tasks				100
Reviewing, and approving proposals and budgets				100
Copying, mailing or electronically submitting proposals				100
Negotiating terms and conditions for contracts and grants				100
Receiving and tracking award notices				100
Setting up initial accounts and accounting entries				100
Notifying principal investigators of awards				100
Preparing public relations information about sponsored projects				100
Approving no-cost extensions and requests for increased funding				100
Monitoring progress and non-financial reporting requirements, patent requirements, and other rebudgeting approvals				100

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Preparing and monitoring consulting and subcontracting agreements				100
Project close-out activities				100
Management and operation of IRB's animal care and use committees, radiation safety committees, or other regulatory compliance activities.				100
Performing purchasing for sponsored projects				100
Maintaining property management systems				100
Monitoring budgets				100
Performing grant forecasting, maintaining grant and contracting accounting records				100
Setting up initial accounts and accounting entries				100
Managing A-21, A-110 and A-133 compliance				100
Reviewing, approving, and monitoring all expenditures for appropriateness				100
Reviewing cost transfers				100