



Office of Sponsored Programs
Annual Report
FY 17

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It is our pleasure to present the Office of Sponsored Programs Annual Report for FY17. Thank you to our investigators who continuously bring extramural funding to Wake Forest University Health Sciences. Sponsored projects provide our faculty with professional excellence, which is so important in delivering outstanding education, mentoring, and training to our students.

The Office of Sponsored Programs strives to support research faculty and staff by providing a range of services for faculty, staff and students who are seeking funding for research, training, service and other scholarly and creative endeavors that enrich Wake Forest School of Medicine and its many collaborators. Our knowledgeable and welcoming staff can advise and assist you with the following and much more:

- Interpret sponsor guidelines
- Review and approve grant applications and detailed budgets
- Negotiate grant and contract terms and conditions
- Facilitate post-award project management
- Monitor and advise on issues of regulatory compliance
- Provide current information on the funding landscape

Echoing efforts of previous years, in fiscal year 2017 the Office of Sponsored Programs (OSP) continued on its path to seek process improvements and more efficient ways to respond to issues related to the grants and contracts lifecycle. To assist with these efforts, Huron Consulting (Huron) was engaged to (a) review OSP processes; (b) examine structure and staffing levels, and (c) guide the development of service agreements between OSP and department faculty/staff. Huron reviewed all policies and procedures, business processes, and benchmark data and conducted 32 interviews with 72 stake holders. The outcome of the engagement was a 214-page report containing 71 recommendations.

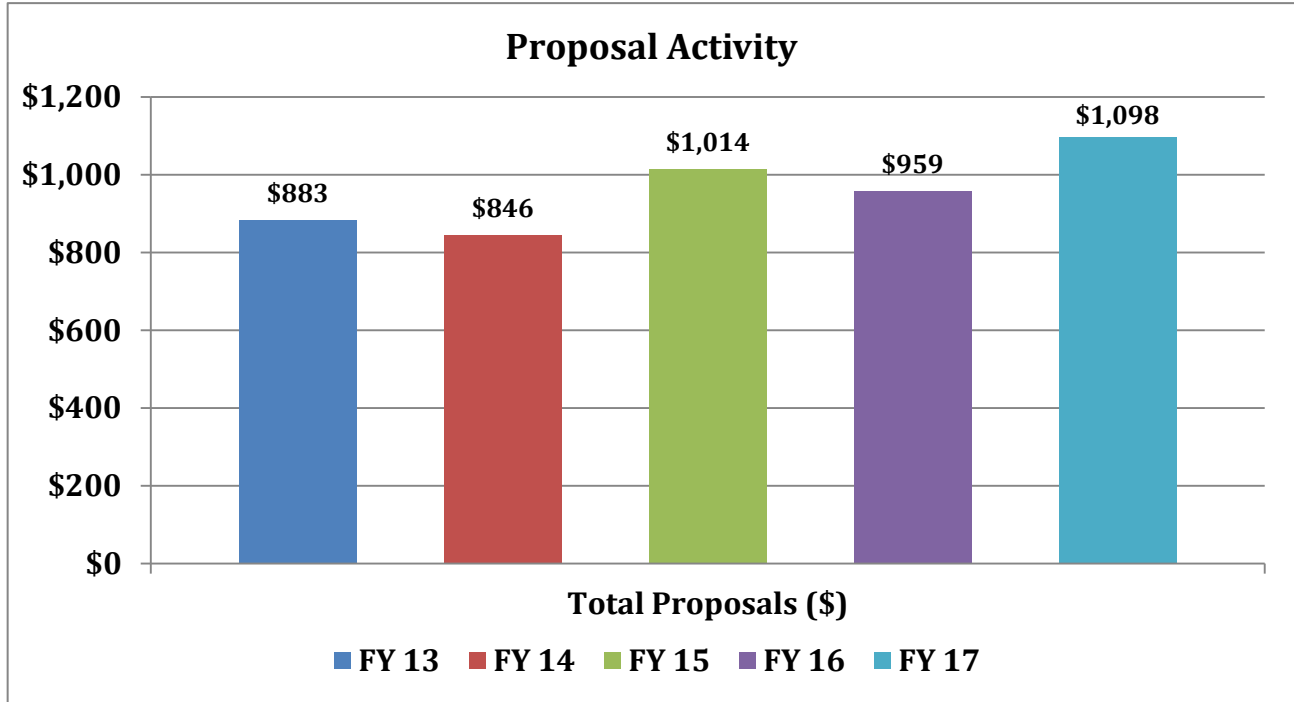
Twenty-five of Huron's recommendations were implemented during FY 2017. Highlights include:

- Define an OSP Mission and Vision
- Clearly communicate the current OSP organizational structure to the research community
- Increase research support within Financial Services
- Set and communicate goals for OSP individuals and monitor and evaluate performance against those goals on a regular basis
 - An institution wide survey was initiated to establish a baseline and will be repeated on an annual basis to measure OSP performance
- Establish award set up metrics
 - This initiative began prior to the Huron report. During FY 2017 OSP initiated changes that reduced the average award set up time from 23 to 17.5 calendar days. The FY18 goal is to further reduce to 14 calendar days.
- Establish and publicize research metrics
 - Research metrics on award, proposal, contract, and revenue volumes and post award activity are published to the website monthly.

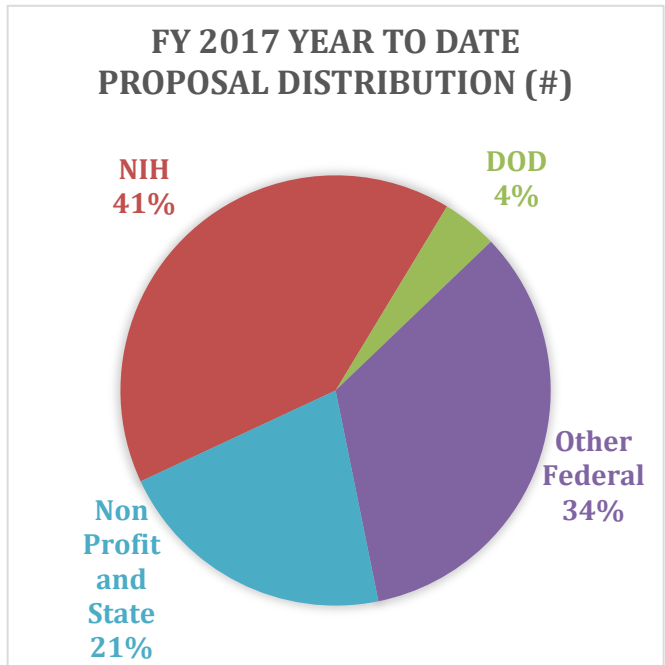
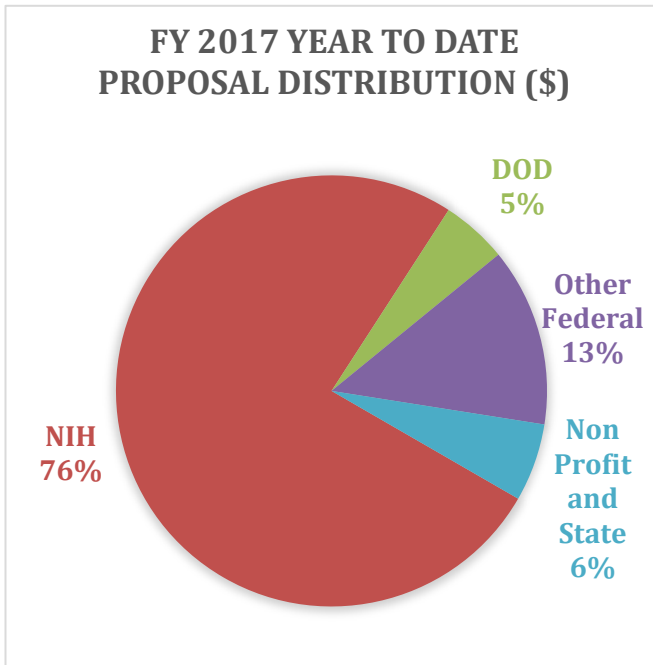
We will continue to work through the Huron recommendations during FY18 and beyond. Our staff looks forward to continuing to work with and support the efforts of our principal investigators.

Extramural Activity Summary

Proposal dollar volume topped \$1 billion for the second time in 5 years, finishing FY 17 at \$1.1 billion in proposals submitted.

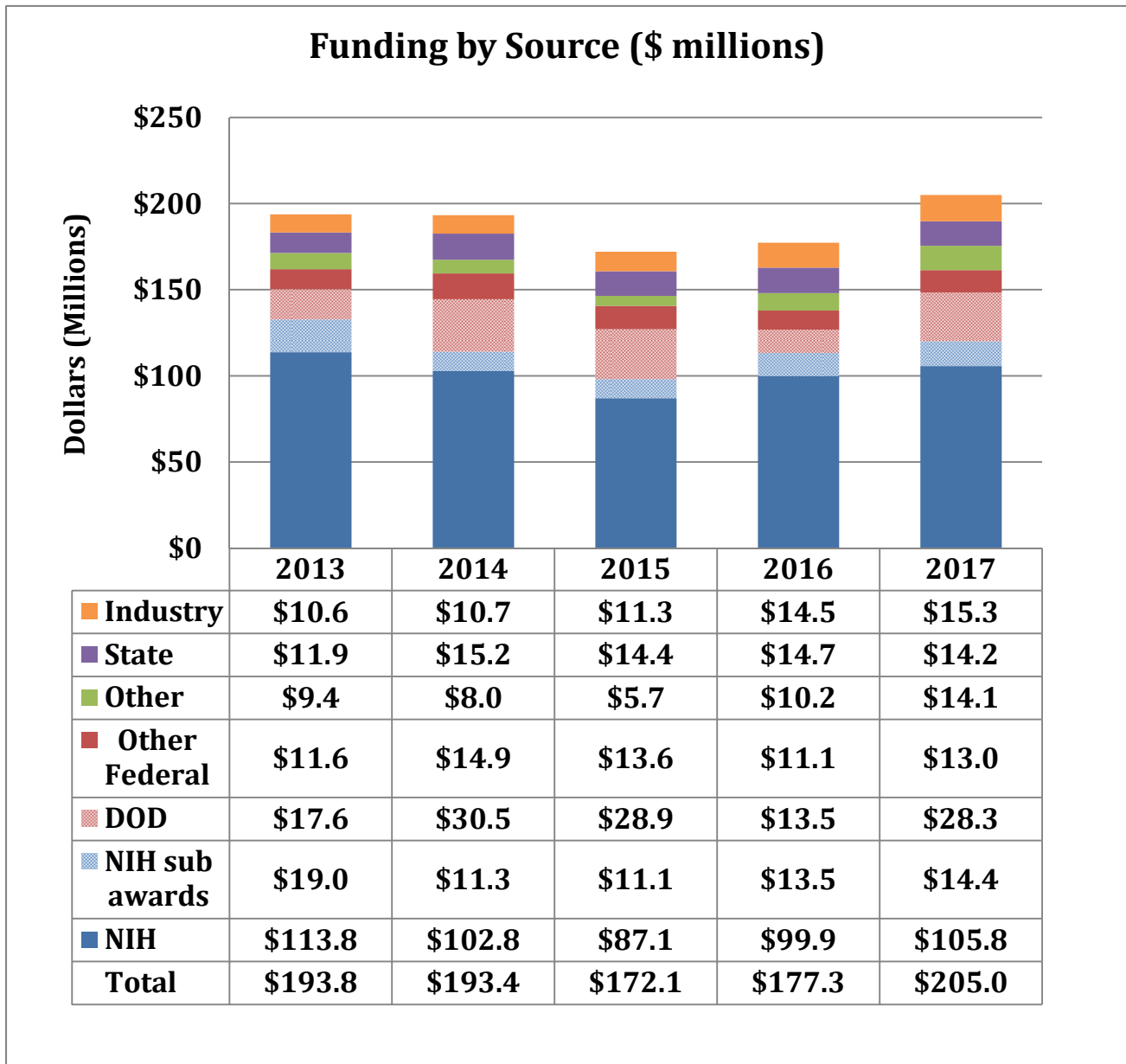


Federal proposals, specifically NIH, dominate submissions, comprising 94% of the total non-industry proposal submissions and 76% of the dollar volume, respectively, in FY 17. Proposal counts are not as heavily dominated by NIH submissions as in prior years with only 41% of the number of proposals attributable to NIH proposals. Proposal submission trends in FY17 reflected more diversification of funding entities, which increases the complexity in areas of preparing, reviewing, submitting grant proposals as well as managing the various types of awards.



Extramural Funding Overview

FY17 funding grew \$27.7 million (15.6%) over the FY16 level.

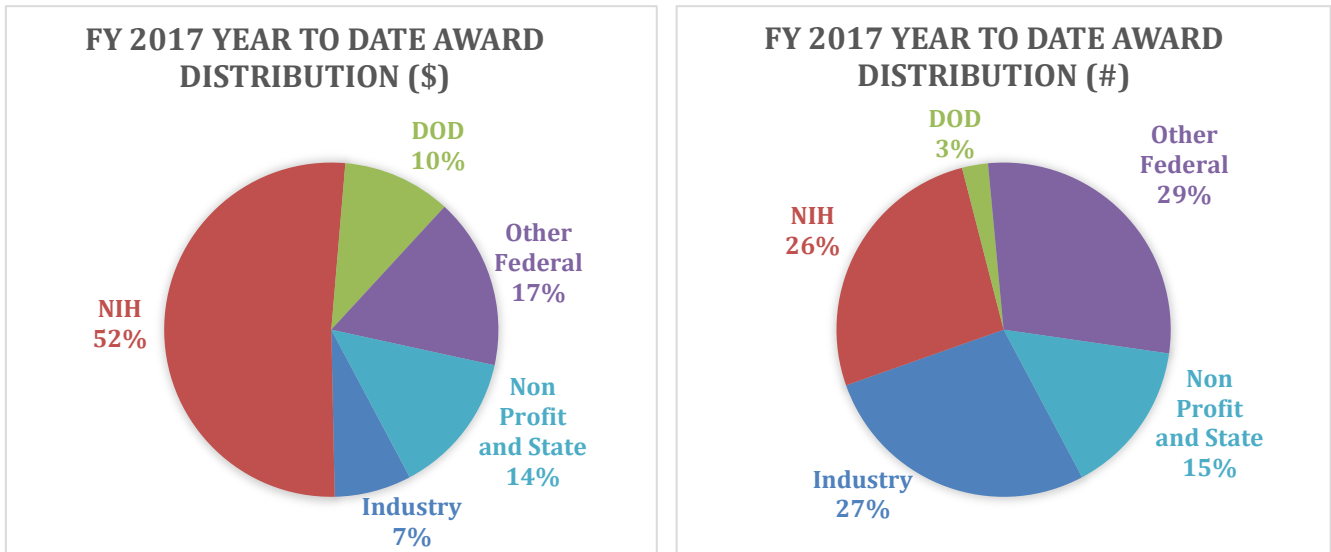


Fluctuations in DOD funding, reflecting a decline of \$15.4 million in FY 16 and an increase of \$14.8 million in FY 17, have impacted the portfolio mix. While NIH funding increased \$5.9 million in FY17, the portfolio mix of direct NIH funding declined 4.7% to 51.6%.

	FY 13	FY 14	FY 15	FY 16	FY 17
NIH	58.7%	53.2%	50.6%	56.3%	51.6%
Non-NIH	41.3%	46.8%	49.4%	43.7%	48.4%

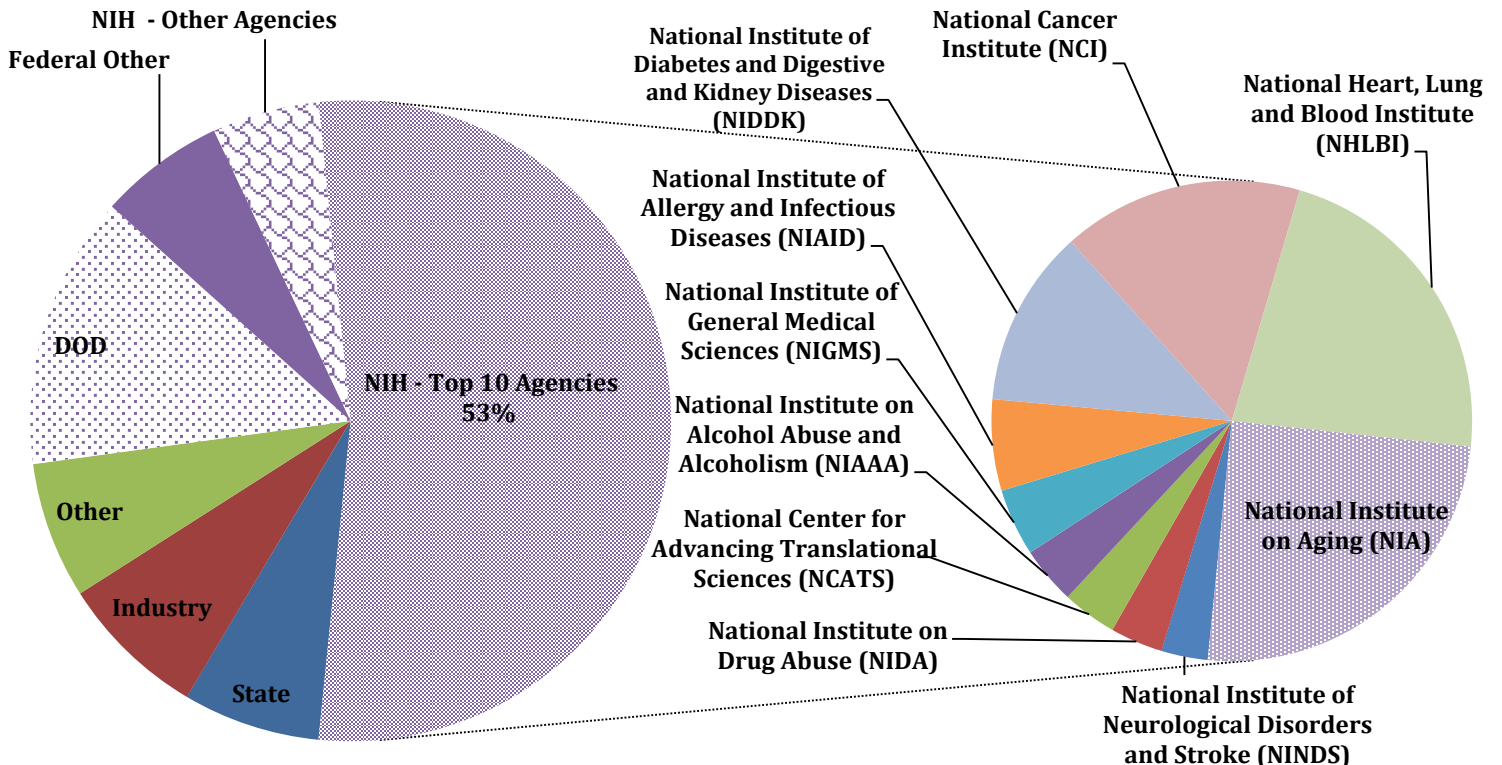
Extramural Funding Overview

Similar to the proposal mix, award dollar volume is also dominated by NIH awards but award counts are more evenly distributed. With the institution's increasing emphasis on Industry Clinical Trial activity, the NIH share of the total portfolio might continue to decrease as funding diversity increases



NIH Funding

Direct and flow through NIH funding combined comprised 59% of the FY17 funding, down from 64% in FY16. However, the dollar volume grew by \$6.8 million. The decrease in percentage is attributable to the growth in DOD funding. The top 10 funding agencies continue to include those that closely correlate with our Strategic Research Focus Areas: National Institute on Aging (13%), National Cancer Institute (9%), National Institute of Diabetes and Digestive and Kidney Diseases (6%), National Institute on Alcohol Abuse and Alcoholism and National Institute on Drug Abuse at 2% each.



Strategic Research Focus Areas

The WFUHS strategic plan for research continues to build on the **6 Strategic Research Focus Areas** identified in FY16. These areas are:

1. Cancer

- a. Lung cancer
- b. Precision oncology
- c. Tobacco control

2. Neurosciences/Brain

- a. Substance abuse and addiction
- b. Pain

3. Regenerative Medicine

- a. Micro-nano fabrication
- b. Body on a chip
- c. In situ regeneration
- d. Manufacturing innovation

4. Aging/Alzheimer’s Disease

- a. Healthy aging
- b. Effect of brain aging on peripheral metabolism and physical function
- c. Role of energy metabolism in the pathogenesis of Alzheimer’s disease and dementia

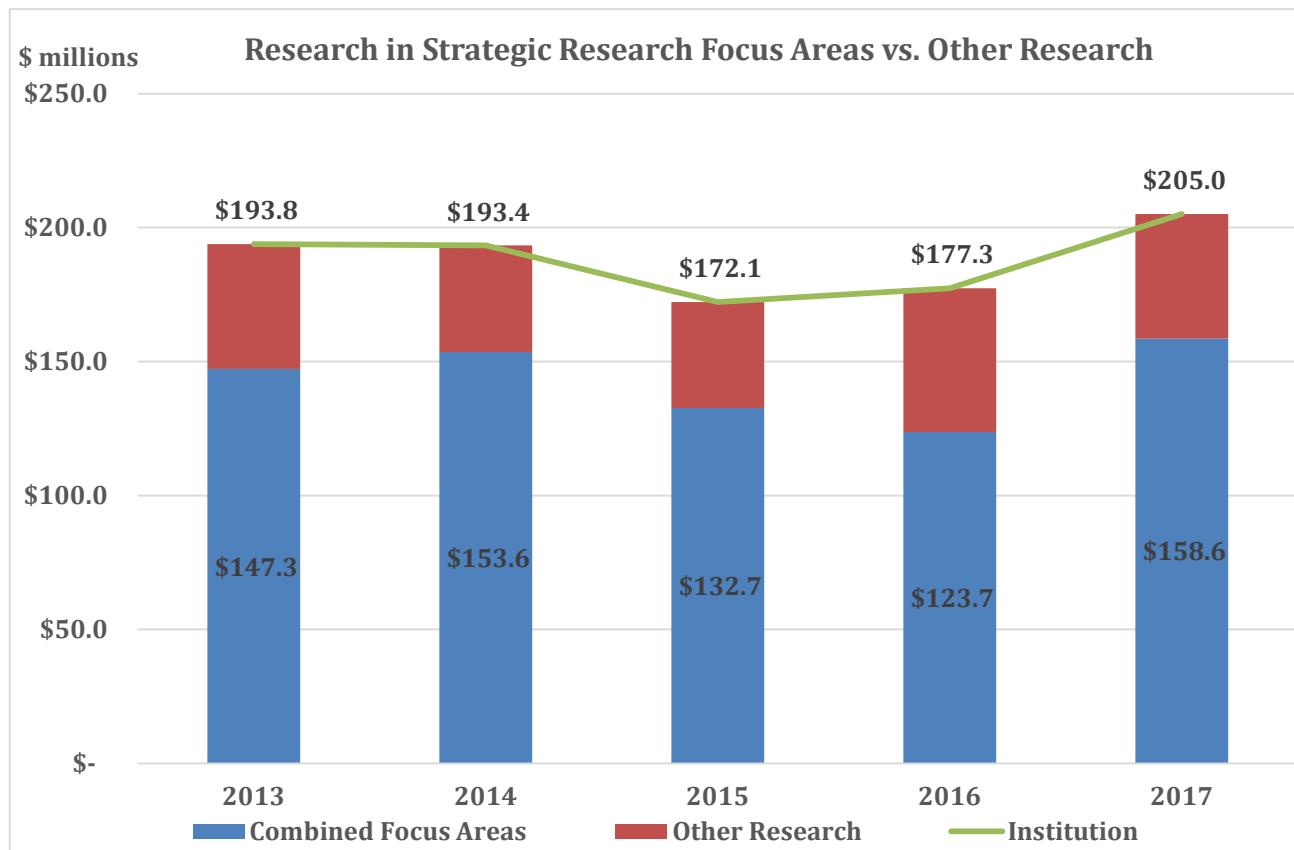
5. Diabetes/Obesity/Metabolism

- a. Translational programs in the precision medicine of diabetes and obesity
- b. Brain and metabolism
- c. Diabetes and heart disease

6. Cardiovascular Disease

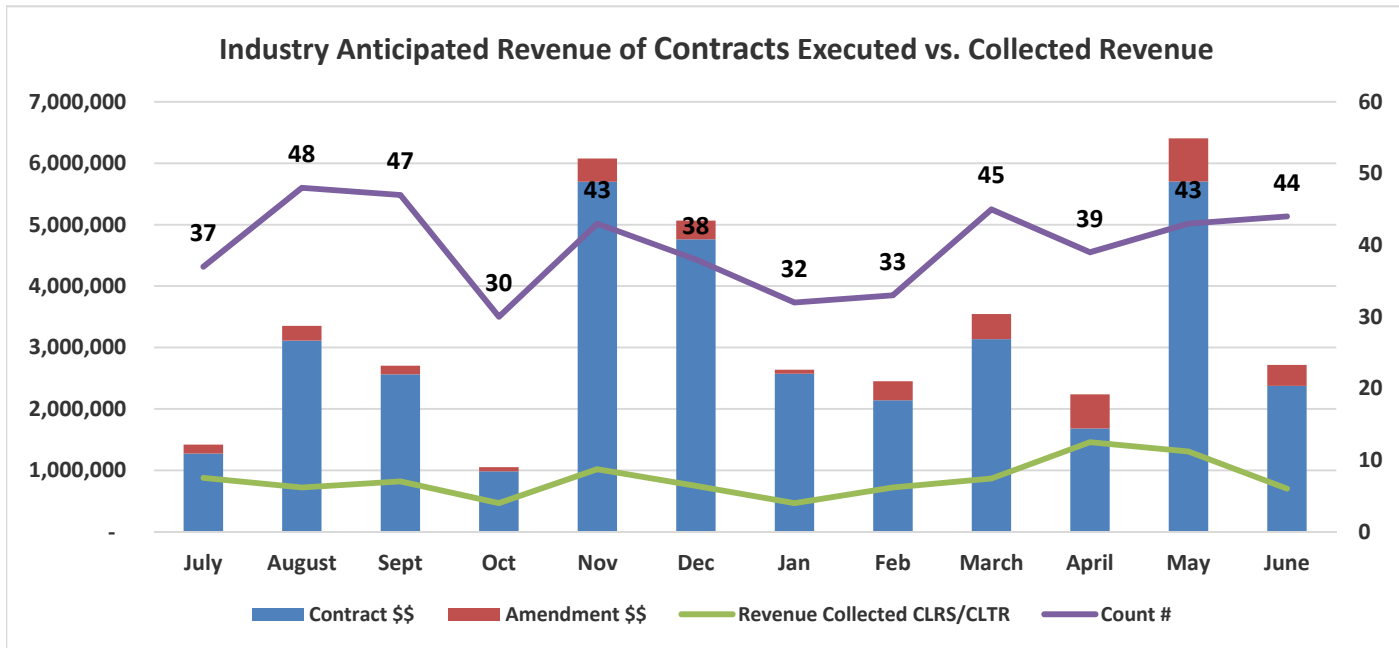
- a. Cardiovascular disease prevention
- b. Prediction and prevention of heart failure

The below graph compares award volume in the 6 focus areas combined to the total institution award volume. Given the potential synergies across some of the scientific areas, awards might fall into more than one focus area. The below presentation eliminates duplication of awards.

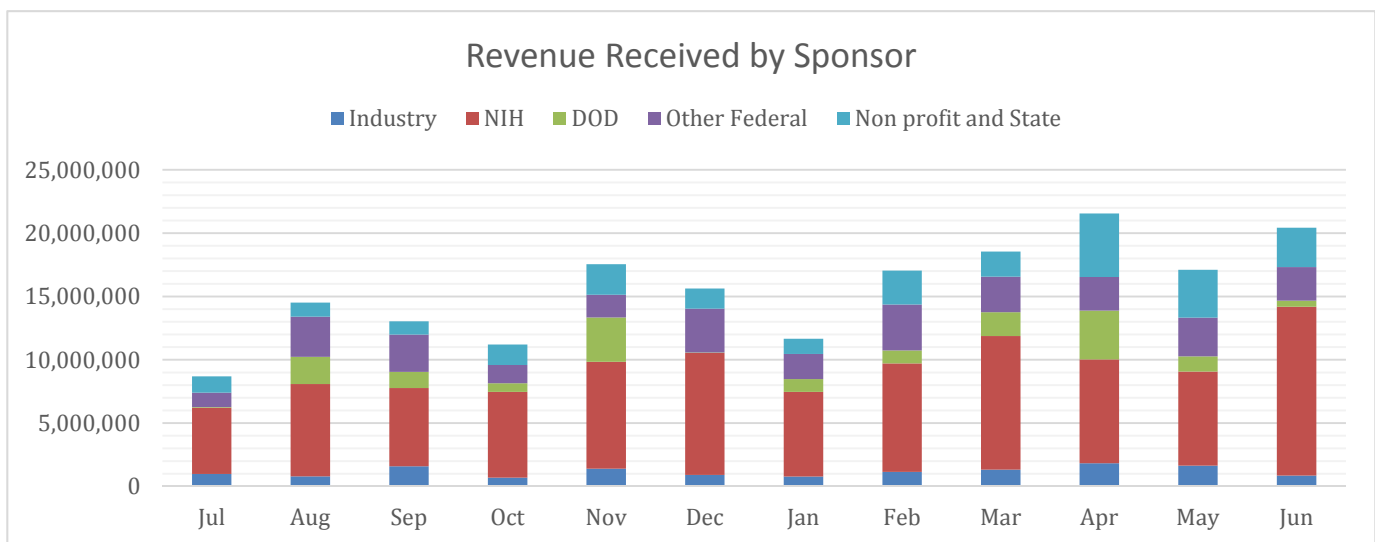


Industry Contract Activities

The Office of Sponsored Programs handles all review, negotiation, and execution of contractual sponsored agreements for the institution. The majority of the funding that comes from industry contracts executed are Clinical Trials or Clinical Research contracts with payments on a per subject or per event structure. The below chart depicts the contract dollar volume executed in FY17 (contracts and amendments) and the count of executed items that involve funding. The green line on the chart is the actual revenue collected on Industry Clinical Trials. The comparison reflects the historical reality that executed contract values are frequently not realized in part due to low participant enrollment. The CTSI, through its Office of Clinical Research (OCR), continues to develop and deploy tools to assist study teams in both in identifying studies that are falling behind in enrollment and assisting study teams in identifying potential eligible study participants.



Continuing the trend seen in proposals and awards, NIH awards are the largest contributor to institution research revenue. The CTSI, through its OCR, closely monitors the clinical trial revenue received. Invoicing, collection and industry clinical trial account reconciliation have been centralized through its clinical trial management system (WISER). This shift has contributed to growth in industry clinical trial revenue in FY17.



Industry Contract Activities

The industry contracting group in the OSP is responsible for drafting, negotiating and signature of various types of contracts that involve for profit entities. Some examples of the various types of contracts executed by this group are shown below and are a snapshot of the volume of some of the items that this group was responsible for during this fiscal year. In FY17, there was an increase of 26% in the number of contracts executed. The contracting group is dedicated to timely execution of all contracts it reviews and seeks to serve as a valued business partner to faculty as well as industry. In addition to executing agreements, should a question or issue arise during the term of an agreement, OSP staff assists in resolving any such issues.

Agreement Type	FY13	FY14	FY15	FY16	FY17
Confidentiality Agreements	238	298	383	320	342
Material Transfer Agreements	155	178	156	215	243
Research Agreements (incl clinical trial agreements)	151	145	178	177	254
Amendments	135	172	159	185	296
Miscellaneous Agreements (Data Use, Service, MOUs, etc)	49	80	93	86	107
Subcontracts	4	6	16	1	3
Indemnification Letters	3	8	24	23	24
Total Completed	735	887	1009	1007	1269

Post Award Activities

The post award group in the OSP is responsible for all award accounting activities, from financial account set up through the close out of the award, and is charged with the financial monitoring of extramural funding. This encompasses subaward issuance, approval of direct costs charged against the financial accounts (including salary, travel, and other research expenses), and most invoicing and reporting. Administering awards is a joint effort between OSP, researchers, and department administrative staff. Every item that post award approved or prepared involves several employees outside of OSP. The post award team seeks to serve as a valued business partner to departments and stakeholders throughout the research community. In FY17, there was an increase of 17.7% in the number of items prepared and an increase of 17.5% in the number of work flow approvals. This reflects the overall increase in the funding portfolio.

Office of Sponsored Programs Metric Detail			
Item Preparation		FY 16	FY 17
Set ups	<i>Total Count</i>	1,239	1,491
Invoices	<i>Total Count</i>	1,078	1,246
Close Outs	<i>Total Count</i>	564	653
Total Item Preparation		2,881	3,390
Work Flow Approvals		FY 16	FY 17
HR actions	<i>Total Count</i>	7,394	8,152
Requisitions	<i>Total Count</i>	10,201	11,646
eRFPs	<i>Total Count</i>	7,374	9,817
Travel	<i>Total Count</i>	1411	1,373
Total Work Flow Approvals		26,380	30,988

Office of Sponsored Programs

Mission

Support and advance our research community through partnerships and education while ensuring quality, accuracy and compliance

Vision

To be a national leader in Research Administration, using innovative approaches to support the success and growth of the research mission