

2014 BRINGING ADMINISTRATORS TOGETHER CONFERENCE

# Speeding Up the Pre-Award Process: The Do's and Don'ts of ORS Submissions

April 1, 2014 – 1:45pm

**UIC** UNIVERSITY OF ILLINOIS  
AT CHICAGO

**UIC**

Lincoln Hall

707 South Morgan Street

# Workshop Presenters

- **Christopher Zack**  
Sponsored Projects Specialist  
Phone: 312-996-0783 Email: czack@uic.edu
- **Carla Dodd**  
Sponsored Projects Specialist  
Phone: 312-355-3874 Email: dodd5@uic.edu
- **Megan Konley, CRA**  
Research Information Coordinator  
Phone: 312-996-7751 Email: mkonley@uic.edu

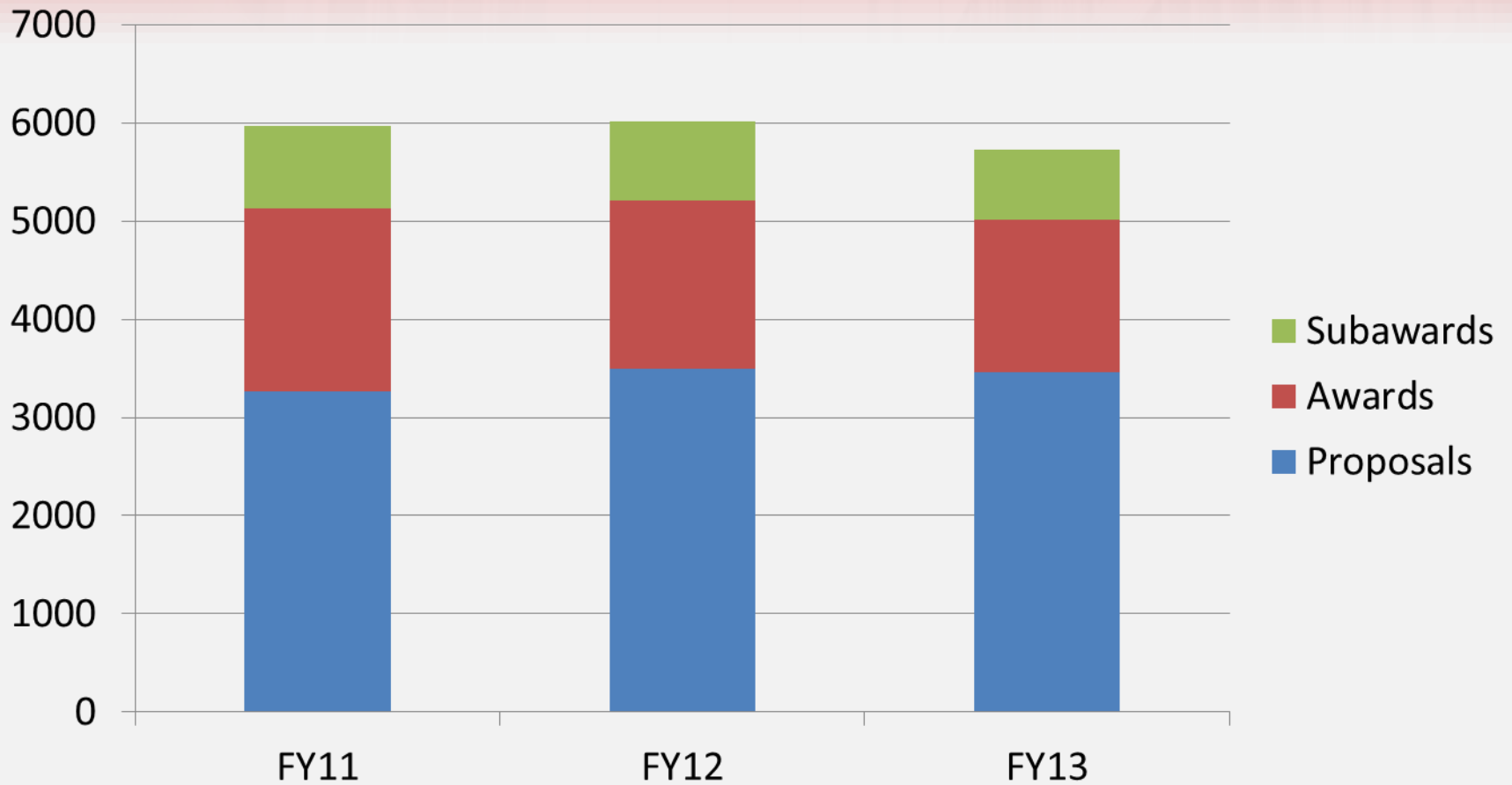
# Please ...

- Turn off cell phones.
- Avoid side conversations.
- Please hold all questions until the end of the presentation.
- Sign the attendance roster.
- Complete the evaluation at the end of the workshop.

# ORS...what we do

- The Office of Research Services (ORS) is responsible for Pre-Award sponsored program activity, including research, instruction and public service at the University of Illinois at Chicago.
- The ORS assists faculty and staff on all stages of sponsored activity
  - ORS assists with proposal development, review and endorsement of proposals, submission of electronic proposals, negotiation and execution of contracts, reporting, receipt and processing of the Notice of Awards.
  - ORS provides interpretation of sponsor guidelines to ensure compliance with both agency and University policies.
  - Responsible for formal acceptance of awards/contracts on behalf of the Board of Trustees.

# ORS...By the Numbers



# Workshop Overview

- Learn why compliance related issues matter at proposal stage and what your responsibilities are.
  - **Importance**
- Review common mistakes that delay the process.
  - **Impact**
- Tips for avoiding delays and common errors.
  - **Considerations**

**Speed up the process!**

# What does a signature mean?

## Certification and Compliance

- Principal Investigator
- Department Head
- Dean
- ORS

# 4 Key Factors that Cause Delays

1. Misidentified Proposal Type
2. Misidentified Activity Type
3. Incorrect Budget/Indirect Costs
4. Not Adhering to Policies



# Proposal Type - *Importance*

- The proposal type dictates the type of review and drives the submission, both internally and externally.
  - New
  - Continuation/Amendment
  - Renewal
  - Supplement
  - Revision

# Proposal Type - *Impact*

## If Misidentified...

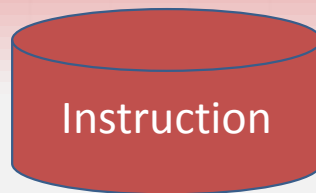
- **LOST TIME!**
- Additional or revised paperwork/documentation
- Additional approvals
- Compliance issues
- Sponsor requirements
- Post-award considerations

# Proposal Type - *Considerations*

## Questions to ask yourself:

- Is the submission competing or non-competing?
- Is the submission part of an active project?
- Will a new account/fund be needed?
- Are additional monies being added to the active period?
- Is there a change prior to award?

# Activity Type - *Importance*



- Data from UIeRA serves as the basis for many UIC generated reports.
- ONR F&A Rate negotiation
- A-133 and other Audits
- University rankings

# Activity Type - *Impact*

## If Misidentified...

- **LOST TIME!**
- The budget is driven by activity type.
- Additional internal documentation
  - ICR Waivers/Guidelines, IRB determination, etc.
- Additional external requirements
- Post-award considerations

# **Activity Type - *Considerations***

## **Questions to ask yourself:**

- Is this project Research/Non-Research?
- Is the activity type consistent with the scope of work and proposal narrative?

# Budget - *Importance*

- The budget quantifies the resources needed to accomplish the project.
- Should be in harmony with the information contained within the proposal.
- Driven by Federal regulations.
  - OMB Cost Principles
  - Federal/State/University guidelines

# Budget - *Impact*

## If budget has issues...

- **LOST TIME!**
- Additional approvals may be required.
  - ICR Waiver, Cost-sharing, etc.
  - \* Only the VCR can approve less than full ICR
- Re-budgeting may require prior approval
- Over/Underspending accounts
- Post-award considerations
- Expenditure reports to sponsor



# Budget - *Considerations*

## Questions to ask yourself:

- Will you be able to cover all programmatic expenses?
- Are you using current/appropriate rates?
- Does your budget follow OMB, Sponsor and University policies?
- How much time and effort is needed to complete the project?
- Who is collaborating?

# Policies - *Importance*

- All Federal, State and University guidelines and regulations set the framework for ORS processes and procedures.
- OVCR Internal Deadline Policy (7-5-3)
- Signatures and certifications
- Effort reporting/Cost sharing/Institutional Base Salary
- Research Integrity
- IRB/IACUC protocol match (1-to-1)
- Additional sponsor requirements

# Policies - *Impact*

If policies are not followed...

- **LOST TIME!**
- Delays the processing of proposals and awards/contracts
- Additional approvals may be needed
- IRB/IACUC amendments
- Audits are time consuming
  - Fines or Sponsor payback
- Scientific Misconduct

# Policies - *Considerations*

## Questions to ask yourself:

- Have all appropriate parties reviewed and approved the documents?
- Has the PI committed to a level of effort?
- Have all key personnel completed required training?

# Top 10 Tips to Avoid Delays

- Start early! Approvals/signatures take time.
- Always use current forms.
- Confirm the accuracy and completeness of all documents prior to submission, as incomplete paperwork may not be accepted.
- Confirm adherence to all applicable regulations and guidelines.
- Ensure that the budget captures the scope and needs of the project.
- Not sure what to use, see PAF v RFA.
- The only Authorized Officials are the Vice Chancellor for Research (certify) and the Comptroller (agree).
- All proposals need to be submitted to ORS before contract/award stage.
- ORS Budget template available soon!
- If in doubt, contact ORS.



# Questions?