

**THE ORA SUBMISSION
PROCESS: A REVIEW FOR
NEW INVESTIGATORS**

Office of the
Vice President
for Research
University of
Oklahoma
Health Sciences
Center

LEARNING OBJECTIVES



**Process
Overview**

**Routing
Form**

Budget

**Deadlines
and
Waivers**

Resources

WHAT IS A GRANT?

- ❖ A Grant is a conditional gift or a conveyance of funds with strings attached.
- ❖ The funding source identifies the problem they want addressed, but no outcome is known.
- ❖ The idea originates with the grantee.



GRANT VS. CONTRACT

- **Grant**

- project conceived by investigator
- agency supports or assists
- performer defines details and retains scientific freedom
- agency maintains oversight



- **Contract**

- project conceived by agency
- agency procures service
- agency exercises direction or control
- agency closely monitors

TYPES OF GRANTS

- Research
- Curriculum
- Demonstration
- Training
- Equipment
- Fellowships
- Federal Laboratory Research



THE FIRST STEP IS HAVING AN IDEA.

- Take an idea, and identify a specific need or problem associated with the idea.
- Your job as a writer is to present this idea in a fundable proposal.
- ORA will help make sure your institutional information is correct and that OUHSC can meet the terms of the award, in case your proposal is funded.



ORA PROCESS OVERVIEW

What
happens
and why

INTRODUCTION TO SECTIONS OF ORA

Grants Team

- **Grant awards/applications**
- **Subcontracts**
- **Progress reports**
- **Extensions**
- **Grant transfers**
- **Other grant-related items**

Clinical Trials Team

- **Industry-related contracts**
- **Research agreements**
- **Material transfer agreements**
- **Confidentiality disclosure agreements**

Service Team

- **Contracts**
- **Professional Services**

GRANT PROCESS: THINGS TO KEEP IN MIND

- ❖ Contact your Sponsored Programs Administrator (SPA)
 - ❖ early and often
- ❖ Routing Form
- ❖ Budget
- ❖ Application pages
- ❖ Scientific documents
- ❖ IRB, IACUC
- ❖ Waivers: IDC, Submission Deadline
- ❖ eRA Commons ID



WHEN DO I NOTIFY ORA THAT I WILL APPLY?

- ❖ Please notify your Sponsored Programs Administrator as soon as you know you will be submitting a proposal.
- ❖ Include a link to any guidelines or RFA.
- ❖ Remember the full proposal package, including all applicable forms, must in ORA three business days before the submission deadline.

FINDING YOUR SPA

The screenshot shows a web browser window with the URL `research.ouhsc.edu/SPA.aspx`. The page header includes the Health Sciences Center logo and a search bar. The main content area features the logo for the Office of the Vice President for Research at the University of Oklahoma Health Sciences Center. A navigation menu lists Home, VPR, ORA, Core Facilities, News, Resources, and Contact Us. The current page is titled "Find Your Sponsored Program Administrator" and includes a search tool with two dropdown menus for "Agreement Type" and "Department", and "Search" and "Clear" buttons. A sidebar on the left lists navigation links under the heading "In This Section".

research.ouhsc.edu/SPA.aspx

Health Sciences Center

Search... SEARCH

OFFICE OF THE
VICE PRESIDENT FOR RESEARCH
The UNIVERSITY of OKLAHOMA HEALTH SCIENCES CENTER

Home VPR ORA Core Facilities News Resources Contact Us

HOME SPA

Find Your Sponsored Program Administrator

Here's an easy two-step search tool to make sure you get the right Sponsored Program Administrator to help with your research project.

Agreement Type

Department

Search Clear

In This Section

- [Home](#)
- [Vice President for Research](#)
- [Office of Research Administration](#)
- [Core Facilities](#)
- [News](#)
- [Resources](#)
- [Contact Us](#)

DO I NEED AN ERA COMMONS ID?

- ❖ Signing Officials and Principal Investigators (PIs) from applicant organizations do need an eRA Commons account for NIH applications, as do other people who may be assisting in the process of grant application submission.

HOW DO I GET AN ERA COMMONS ID?

- ❖ An OUHSC signing official must request these.
- ❖ Please send an e-mail request.
 - ❖ hscora@ouhsc.edu
- ❖ If you already have an eRA Commons ID, and need to affiliate with OUHSC, please e-mail hscora@ouhsc.edu with your username and we will update it for you.

FINANCIAL CONFLICT OF INTEREST (FCOI)

Training
and
Disclosures

FCOI TRAINING

- All current Public Health Service (PHS) investigators must complete FCOI training initially and repeat it every 4 years.
- The mandatory OUHSC training may be accessed here:
 - [http://research.ouhsc.edu/ORA/FormsPolicies/FinancialConflictsOfInterest\(FCOI\)/FCOITraining.aspx](http://research.ouhsc.edu/ORA/FormsPolicies/FinancialConflictsOfInterest(FCOI)/FCOITraining.aspx)
- PHS regulations require that **in order for spending to continue on active grants, all training must be completed by all investigators before the next Notice of Award** for that project.

FCOI POLICIES AND PROCEDURES

- The Public Health Service (PHS) issued updated conflict of interest regulations applicable to existing and new PHS-funded investigators in effect August 24, 2012.
 - <http://grants.nih.gov/grants/policy/coi/>
- Note: All Faculty and Staff must also be in compliance with the OU Board of Regents Conflict of Interest policy, which can be found here:
 - <http://research.ouhsc.edu/ORR/FormsPolicies/OURegentsPolicy-ConflictofInterest.aspx>

WHO SHOULD TAKE THE TRAINING?

- Investigators and faculty and staff paid from awards funded by the Public Health Service
- Current PHS awards are not subject to these new requirements until the next noncompeting continuation award is funded (i.e., if the continuation grant is awarded after August 24, 2012).
- This mandatory training must be repeated at least every four years.
- Additionally, each Investigator must complete training immediately under the following circumstances:
 - If OUHSC FCOI policies change in a manner that affects Investigator requirements
 - An Investigator is new to OUHSC
 - An Investigator is found noncompliant with OUHSC's FCOI policy or management plan

ROUTING FORMS

Where to
find them,
information
you need

WHEN IS A ROUTING FORM NEEDED?

- ❖ Sponsored activities routing forms are required any time proposals are being prepared to bring new funds into the University.
- ❖ Routing forms are not required for rebudget, extension, and carryover requests.

WHAT ABOUT ELECTRONIC SUBMISSIONS?

- ❖ All sponsored proposals, including those submitted electronically to the sponsor, must be routed through ORA.
- ❖ A full electronic version of the final proposal should be sent to ORA after submission, if ORA does not complete the application.

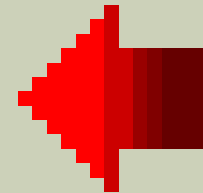
WHERE CAN I FIND A ROUTING FORM?

- ❖ Routing forms can be found on the SoonerTrack <http://soonertrack.ouhsc.edu/SoonerTrackGrants.aspx> Grants Link page.



The screenshot shows the SoonerTrack website interface. At the top, there is a dark red header with the University of Oklahoma Health Sciences Center logo and a search bar. Below the header is a large banner with the word 'SOONERTRACK' in a serif font. A navigation bar below the banner contains links for Home, SoonerTrack Agreements, SoonerTrack Grants, Training Documents, Training Sessions, and Contact Us. The 'SoonerTrack Grants' link is highlighted, and a dropdown menu is open, listing several options: Office of Research Administration (ORA), The Office of Admissions and Records, College of Medicine, Graduate Medical Education, General Reference Guides, Training Videos, and Training Handouts. The main content area below the navigation bar shows the 'SoonerTrack Grants' heading and a brief announcement. At the bottom of the page, there is a footer with copyright information and a 'Login' button.

Training documents are also available, as shown here.



State

GRF0000216 : PJ Siharath Grant Demo...

Pre-Submission
 Created By: Phoukhong Siharath
 Created On: 3/8/2016 6:57 PM
 Start Date: 3/8/2016
 End Date: 3/7/2017
 Principal Investigator: Kevin Fitzgerald
 Owner:
 Contract Administrator:
 Modified On: 3/8/2016 6:59 PM

Principal Investigator: Kevin Fitzgerald
Fellow:
Departments: College of Allied Health
Owner:
Contract Administrator:
Direct Sponsor: 3i Implant Innovations, Inc.
Originating Sponsor:

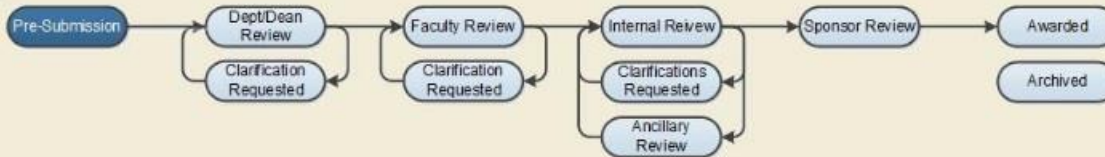
Deadline Date:
Starting Date: 3/8/2016
End Date: 3/7/2017
Total Direct: \$0
Total Indirect: \$0
Total: \$0

Proposal ID:
C Number:
Sponsor Award ID:

Compliance Information:

- Edit Routing Form
- Printer Version
- View Differences
- Create Agreement Routing Form

Routing Form



My Current Actions

- Ready For PI-PD Review
- Manage Team Access
- Copy Routing Form
- Log Comment
- Link Grants and Agreements
- Withdraw
- Add Attachments

There are no Ancillary Reviews to show at this time.

History | Contacts | Reviews & Participation | Effort | Attachments | Related Grants | Related

Activity	Author	Activity Date
Created	Siharath, Phoukhong Joshua	3/8/2016 6:57 PM

History

Activities

BUDGETS

Spreadsheets
and who can
help

WHO CAN HELP WITH BUDGET INFORMATION?

- ❖ Your Department or College should be able to assist you with your budget preparation.
- ❖ Detailed Budget Spreadsheet and NIH Modular Spreadsheet templates are available on the ORA website.
- ❖ <http://research.ouhsc.edu/ORA/FormsPolicies/Grant-RelatedForms.aspx>

FRINGE BENEFITS RATES

- The current rates are posted on the ORA website:
- <http://research.ouhsc.edu/ORA/News,FactsReports/FringeBenefitsRates.aspx>

DEADLINES AND WAIVERS

When to
send and
who to
send it to

ORA DEADLINES FOR PROPOSAL SUBMISSIONS

- ❖ All proposals in final form, for both hard copy and electronic submissions, must be submitted to ORA 3 full University business days before the funding agency's submission deadline.
- For example, if a proposal is due to the funding agency by Friday at 5 p.m. CST, the proposal must be submitted to ORA no later than 5 p.m. CST on Tuesday of that week.
- ❖ All proposals must be accompanied by a completed and electronically signed routing form, electronically signed by all required parties, including the Principal Investigator, participating faculty, Department Chair, and the Dean, as applicable, to be considered complete.

ORA DEADLINE WAIVERS

- To assist all investigators in presenting their best effort, ORA is willing to accept all but the scientific portions of the application. After communicating with the appropriate SPA, submission of the scientific portions of a proposal can be delayed with a waiver from the Associate Vice President for Research, Dr. Martha Ogilvie.
- NOTE: Even with a waiver, delaying submission of the scientific portion will result in a delay of the entire proposal submission. Formatting errors may trigger grant submission systems to reject the entire proposal, and there will be no time to make corrections.
- Proposals that are submitted with less than a 3-day window will NOT be accepted without a waiver from Dr. Ogilvie.
- NOTE: An e-mail request to Dr. Ogilvie, and approval, is sufficient to meet this requirement. The e-mail must come from the PI.
- When waivers are granted, proposals will be accepted on a first-come-first-serve basis. Priority will be those that met submission deadlines first, then in order of submission, those that received a waiver for late submission.

IDC: WHAT IS IT?

- Indirect costs are actual costs incurred by the University to support externally funded projects. These costs are to be reimbursed by the sponsor for common University expenses that cannot be directly charged to a single project and include: 1) infrastructure costs (rent, heating, air, janitorial services) and 2) support services (IT, library, purchasing, accounting, research administration, animal resources, and federally mandated assurance boards and offices [IRB, IACUC, IBC]).

IDC RATES AND EXCEPTIONS

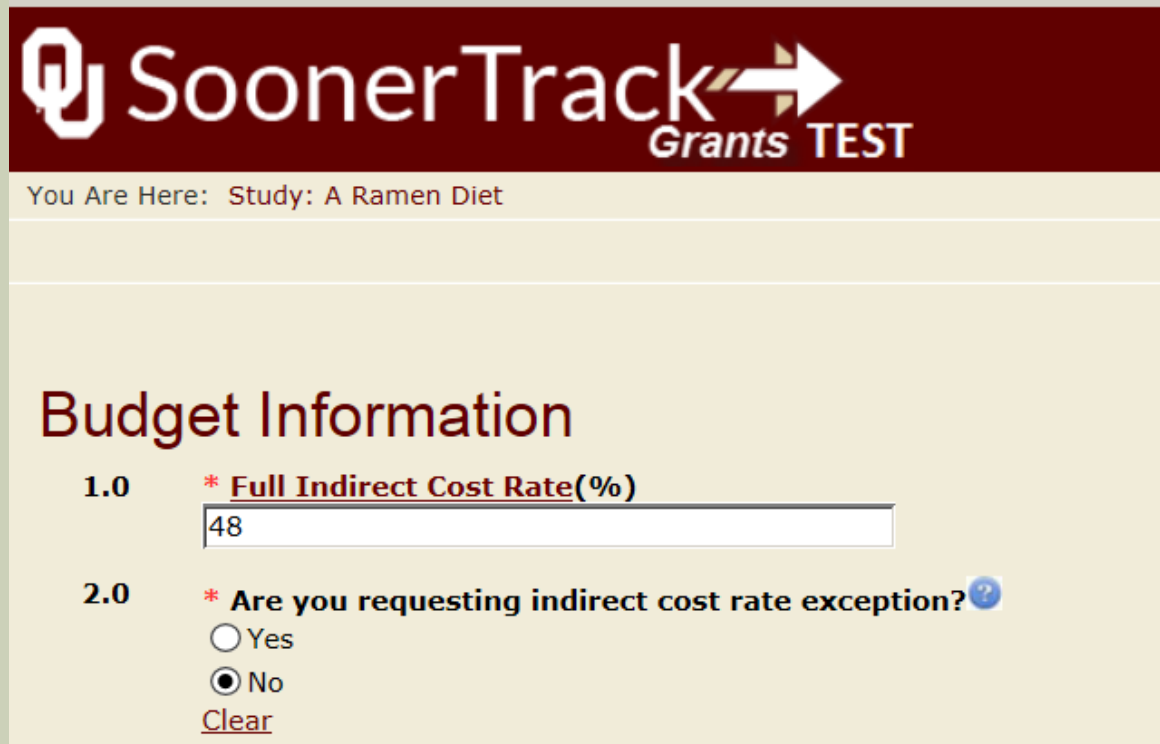
- If the sponsor has a documented, formal policy regarding their IDC rate, or an approved state rate, OUHSC will accept it.
- Please note, an e-mail from the sponsor is not considered a documented, formal policy.
- If there is no sponsor policy available, and you are requesting a rate that differs from OUHSC's negotiated rate, you will need to complete an IDC waiver form.

IDC EXCEPTION FORM

- ❖ Please note: these forms are very seldom needed, as OUHSC will accept the sponsor rate if there is a documented, formal policy or if the sponsor has an approved state rate.

IDC EXCEPTION QUESTION

- The IDC Exception Form is embedded in the SoonerTrack grant routing form. If you select “Yes”, the IDC Exception Form will appear automatically.




SoonerTrack Grants TEST

You Are Here: Study: A Ramen Diet

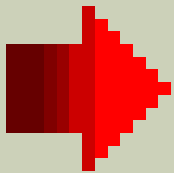
Budget Information

1.0 * **Full Indirect Cost Rate(%)**
48

2.0 * **Are you requesting indirect cost rate exception?** 

Yes
 No

[Clear](#)



THE FORM IN SOONERTRACK

Indirect Cost Rate Exception Request

Principal Investigator: Kevin Fitzgerald

Sponsor: 12 & 12, Inc.

Flow-through Sponsor:

Total Direct Costs: \$100,000

Total Indirect Costs: \$1,000

Total Costs: \$101,000

Full Rate (%): 48

1.0 Is this a continuation, renewal, revision or supplement?
No

2.0 Original Source of Funds (Prime Funding Sponsor):
BUS

3.0 * Is this request for a multiyear award cycle?
 Yes
 No
[Clear](#)

4.0 * Indicate Estimated Total Direct Cost (\$) for all years PI is Seeking exception:

5.0 * Requested reduction of Indirect Cost Rate (%) to:

6.0 * Justification for IDC exemption or reduction:

7.0 Attachments:

There are no items to display

TRANSFERRING A GRANT

How to
transfer a
grant to
OUHSC

TRANSFERRING NIH GRANT TO OUHSC

- Notify your Grants Management Specialist that you are transferring.
- They will send you a list of instructions to follow.
- If you need IRB or IACUC approval, it is important to get that done as soon as possible.
- **Mary Cotter-Lalli** is the OUHSC contact person for all except the Cancer Center. The Cancer Center contact is **Lisa Asch**. Please list the appropriate name there, and give her the contact information for your grants contact at your previous institution.
- Do your FCOI training as soon as possible. This needs to be completed every 4 years.
- [http://research.ouhsc.edu/ORA/FormsPolicies/FinancialConflictsofInterest\(FCOI\)/FCOITraining.aspx](http://research.ouhsc.edu/ORA/FormsPolicies/FinancialConflictsofInterest(FCOI)/FCOITraining.aspx)

LOCAL GRANT OPPORTUNITIES

For OUHSC
investigators

LOCAL FUNDING OPPORTUNITIES

- College of Medicine Alumni Awards (COMAA)
 - <http://research.ouhsc.edu/VPR/PHFandCOMAAOpportunities.aspx>
- Presbyterian Health Foundation (PHF) Funding Opportunities – Seed, Bridge, Equipment, Collaborative, and National and International Symposia Grants
 - <http://research.ouhsc.edu/VPR/PHFandCOMAAOpportunities.aspx>
- Oklahoma Center for the Advancement of Science and Technology (OCAST)
 - http://www.ok.gov/ocast/Program_Support/Solicitations/
- Please look at your weekly ORA newsletter for other grant funding opportunities.

RESOURCES

Forms, FAQs,
and Contacts

WEB RESOURCES

- Find your SPA:
 - <http://research.ouhsc.edu/SPA.aspx>
- Find grant-related forms:
 - <http://research.ouhsc.edu/ORR/FormsPolicies/Grant-RelatedForms.aspx>
- OUHSC policies and procedures:
 - <http://research.ouhsc.edu/ORR/FormsPolicies/OUHSCResearchPoliciesProcedures.aspx>
- OUHSC institutional information:
 - <http://research.ouhsc.edu/ORR/News,FactsReports/OUHSCInstitutionalInformation.aspx>
- Editing your grant proposal:
 - <http://research.ouhsc.edu/VPR/StaffEditor.aspx>
- SoonerTrack Questions
 - <http://soonertrack.ouhsc.edu/ContactUs.aspx>

OTHER RESOURCES

- **ORA Weekly Newsletter**
 - Available grants, deadlines, and upcoming talks
 - Sent to your inbox every Monday that campus is open

- **Questions about using SciENCv (for NIH biosketch generation).** Please contact Shari Clifton, Professor and Associate Director of BHSL.
 - shari-clifton@ouhsc.edu
 - 405-271-2285 <http://library.ouhsc.edu/sciencv>

- **Questions about Financial Policies or Reporting**
 - Grants and Contracts Accounting
 - 405-271-2177

- **Manuscript/Proposal Editing.** Please send a Word version to Kathy Kyler, Staff Editor, Office of the VPR
 - kathy-kyler@ouhsc.edu
 - 405-271-2090 <http://research.ouhsc.edu/about/staff-editor/>