

The University of Oklahoma
Health Sciences Center

Grants 101

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Office of Research Administration

Objectives

- ▶ Describe the process of submitting a grant proposal through the Office of Research Administration (ORA)
- ▶ Identify common routing and submission mistakes
- ▶ Discuss common budgeting and other frequently asked questions

OUHSC Proposal & Awards

Fiscal Year	Submissions		Awards		Number of Active PIs/Co-PIs
	Total Number	Total Dollar Amount	Total Number	Total Dollar Amount	
FY2020	788	\$409,289,479	756	\$190,075,689	362
FY2019	803	\$394,280,301	659	\$147,741,357	360
FY2018	755	\$442,052,775	537	\$137,164,935	348
FY2017	757	\$456,963,484	555	\$142,853,683	382
FY2016	568	\$394,268,904	557	\$134,068,188	386
FY2015	660	\$358,303,618	540	\$129,234,468	387

ORA Expectations: Pre-Award Through Post-Award

- ▶ PI/department is responsible for completing applications, SoonerTrack routing forms, and post-award documentation (unless it is specific to institutional information, such as audit information request forms)
- ▶ PI/department should route required documentation to us with time to review and provide comments
- ▶ PI/department should address review comments and make corrections to documents as applicable
- ▶ Official communication to the sponsor should come from ORA. If PIs receive official communication directly, they should forward to their SPA so we can formulate an official response in coordination with our office, the department, and any other ancillary offices
- ▶ When in doubt, ask!

Submission Process

- ▶ 3 Day Review Policy
 - ▶ All proposals in final form submitted to ORA 3 full University business days prior to sponsor deadline
 - ▶ Example: If a proposal is due Friday at 5 PM, submission to ORA required no later than 5 PM Tuesday (includes routed SoonerTrack ticket)
 - ▶ If you miss this deadline, email waiver from AVP for Research (Dr. Ogilvie) required
- ▶ 8 Sponsored Programs Administrators & 2 Signing Officials
- ▶ Sponsored Program Administrator (SPA) uses SoonerTrack ticket, guidelines, and application to perform review
- ▶ SPA forwards completed application to Associate Director for review, approval, and signature as necessary

Routing: What Does it all Mean and Why is it Important?

- ▶ The term “route” is sometimes used interchangeably; can refer to routing a SoonerTrack ticket or to routing an application for review
- ▶ Purpose is to receive institutional approvals and project information for submission and potential award
- ▶ Sponsored Program Administrator (SPA) uses SoonerTrack ticket, guidelines, and application to perform review

To Route or Not to Route?

When in doubt, ask your SPA!

Route

- Any application being submitted to an external sponsor (doesn't have to be called "grant")
- Supplemental funding
- Outgoing Subawards (via SoonerTrack Agreements)

Do Not Route

- Budget Amendments (budget amendment form required)
- No-Cost Extensions

Maybe Route (check with SPA)

- Some internally funded grants
- Pre-applications and/or Letters of Intent typically do not require routing but can if a budget or institutional signature is required

What to Include in the SoonerTrack Ticket

- ▶ Include a link to the sponsor guidelines or add as an attachment
- ▶ Add other attachments that will be submitted
 - ▶ Requirements vary by opportunity
 - ▶ No specific order needed for ORA review purposes
- ▶ If your department has a specific policy that requires information be attached in order to receive department approval, attach that as well

SoonerTrack PI Approval

1. From **My Inbox**, select Funding Proposal from list or execute a search using Filter by.

Grants Agreements

My Inbox

Filter by

ID	Title
GRF00000042	Lisa Testing 4

1 items

2. On the left, select Edit Routing Form to view proposal.

Edit Routing Form

Printer Version

View Differences

Create Agreement Routing Form

3. On the left, select PI COI Assurance and complete. Next select PI Fed and University Reqs and complete. Then select the Submit activity and click OK.

My Current Actions

[PI COI Assurance](#)

[PI Fed and University Reqs](#)

[Submit](#)

[Manage Team Access](#)

Common Mistakes When Routing a Ticket

- ▶ Participant selecting themselves as their supervising approver (will force us to intervene and “push” the ticket forward)
 - ▶ Exception: If the investigator is the chair, they can list themselves as their approver
- ▶ Assigning ORA as Departmental Reviewer
- ▶ #1 Breakdown in Process: Person responsible for the ticket submits it and then does not follow up to ensure participants have approved. The ticket is not considered officially received by ORA until everyone has signed off and it reaches our office
 - ▶ Ticket not received until after 3 day deadline, waiver required

Communication Between PI and ORA: Pre-Award Through Post-Award

- ▶ The best way to contact your SPA is to email the SoonerTrack ticket and copy the SPA
 - ▶ Subject line of email includes the *Ticket Number* and is sent to SoonerTrack Grants (GRF numbers) or SoonerTrack Agreements (ORA numbers) as appropriate
 - ▶ Example:
 - ▶ Subject: Question about RFA *GRF00005142*
 - ▶ To: soonertrackgrants@ouhsc.edu
 - ▶ CC) Cathleen-Rychner@ouhsc.edu

Common Reasons for Longer Review Process

- ▶ Most issues can be handled quickly but if you have one of the scenarios below, try to route the application to us for review sooner rather than later

Foreign Component

- Must be routed through Export Control for approval prior to submission

Subsite that will be performing part of the Scope of Work

- Requires a subaward intent package with subsite institutional signature
- Especially important when there are multiple subs

Indirect Cost Waiver Request

- Requires approval by AVP for Research

Programmatic and Training Grants

Common Budgeting Questions

- ▶ Are detailed budgets always required?
 - ▶ If the sponsor does not require a detailed budget at submission, we do not either. However, we will need one by award
- ▶ Q: Do all grants require budget justifications?
 - ▶ A: If a detailed budget is being submitted, we need a detailed justification to complete our review
 - ▶ If a detailed budget is not required by the sponsor at submission, we do not require one to submit but if awarded, we will require a detailed budget and justification for award processing
- ▶ Q: Why do I need accurate salary information?
 - ▶ A: When ORA provides institutional approval, we are certifying that the information included is accurate to the best of our knowledge
- ▶ Q: When can I use estimated salary?
 - ▶ A: When a position is To Be Determined, you should use the midpoint of the salary range (or the uppermost possible salary). You can work with your HR business partner if you're unsure what level is appropriate for the position requested

Common Budgeting Questions-- Continued

- ▶ Q: Can ORA review my budget in advance of reviewing the entire application?
 - ▶ A: Yes! As long as we have the sponsor's guidelines, the SoonerTrack ticket, and the budget, we can perform an initial review to identify any issues that need to be corrected prior to submission
- ▶ Q: Do PIs need to commit a percentage of effort for every submission?
 - ▶ A: Yes. This can be a minimal amount of 0.1% effort but there must be documented effort for the PI, regardless of the type of grant submission
- ▶ Q: What are some common budgeting mistakes?
 - ▶ A: Budgeting item in wrong category, incorrectly classifying consultant as subrecipient, not using University prescribed budget categories, interchanging stipends and salaries, faculty receiving promotional increases above what is budgeted for their salary
 - ▶ Use General Ledger Codes as guide:
<https://financialservices.ouhsc.edu/Forms/general-ledger-codes>

So You Received a Notice of Award— Now What?

- ▶ The award process varies greatly by sponsor
- ▶ Typically, NOAs are sent to our ORANOA@ouhsc.edu central inbox but some sponsors may send the NOA to the PI directly
 - ▶ As soon as you receive award documentation, forward to your SPA
- ▶ Some sponsors, such as NIH, require compliance approvals during the Just-in-Time process prior to award. If that has not already occurred you will need to provide compliance approvals that cover the funded project before we can process the NOA
- ▶ SPAs are sending template emails when an NOA is received. If we need a revised budget, we will ask
- ▶ Start routing any outgoing subawards or ICAs through SoonerTrack Agreements

Outgoing Subawards

- ▶ Subawards are not deadline driven and require a lot of administrative coordination between institutions.
- ▶ The number one issue that causes delay of a subagreement is not starting the separate routing form (through SoonerTrack Agreements) as soon as your SPA emails you the Notice of Award
 - ▶ We sometimes see delays of up to 8 months from award to receipt in our office.
- ▶ Steps in the process:
 - ▶ a. PI/Dep't gets a requisition #
 - ▶ b. PI/Dep't routes the sub in SoonerTrack Agreements
 - ▶ c. Purchasing reviews the routing form and approves
 - ▶ d. GCA reviews the routing form for allowability and approves
 - ▶ e. ORA reviews, negotiates, and executes the contract

FYI—Other Support

- ▶ NIH has drastically changed their Other Support guidelines
- ▶ NIH is releasing further guidance soon and we will be offering classes to address all of these changes when final guidance is received
- ▶ For now, please become familiar with these new requirements and start thinking about updating your Other Support document
 - ▶ Newly released notice with new requirements:
<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-073.html>
 - ▶ Other Support templates and guidance:
<https://grants.nih.gov/grants/forms/othersupport.htm>
 - ▶ FAQs: <https://grants.nih.gov/faqs#/other-support-and-foreign-components.htm>

Help is Available!

- ▶ How do I tell which person to contact at ORA for specific questions?
 - ▶ Email HSCORA@ouhsc.edu
 - ▶ Go to our homepage (<http://research.ouhsc.edu>) and use the “Sponsored Programs Administrator Search” box in the bottom right.
 - ▶ If your ticket has arrived in ORA, you should be able to look at the ticket and see who the “Owner” is.
- ▶ I have problems using SoonerTrack. Is there any help?
 - ▶ For help, email soonertrackhelpdesk@ouhsc.edu.

Internal Resources

- ▶ **ORA Forms** - ORA submission policy, institutional info quick reference, budget spreadsheet, sub vs. vendor guidelines, effort conversion table, and more
 - ▶ <https://research.ouhsc.edu/ResearchAdministration/FormsandRates.aspx>
- ▶ **Find your SPA** - by Department & Agreement Type
 - ▶ <https://research.ouhsc.edu/ResearchAdministration/AboutORA/SPA.aspx>
- ▶ **Grant Routing Forms:** <https://soonertrackgrants.ouhsc.edu>
- ▶ **Manuscript/Proposal Editing**
 - ▶ Please send a Word version to Kathy Kyler, Staff Editor, Office of the VPR
 - kathy-kyler@ouhsc.edu
- **ORA Weekly Newsletter** - sent to your inbox every week!

Questions?

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