



HEALTH SCIENCES CENTER
The UNIVERSITY of OKLAHOMA

Demystifying the Office of Research Administration Grant Review and Submission Process

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Topics to be Covered

- Key roles and responsibilities
- Internal routing
- ORA review and submission process
- Application preparation checklist
- Mentored Career Award (K)

NOTE: This presentation focuses on NIH grant applications.

Key Roles and Responsibilities

Principal Investigator (PI)/Project Director

- **Identifies** potential funding sources (ORA Newsletter, InfoEd SPIN, etc.)
- **Develops** and **prepares** proposals in accordance with sponsor guidelines and University policy
 - Secure required space & cost share commitments
 - Work with the Dept./Section/Dean to develop proposal budget
 - Collect paperwork from subrecipients
- **Submits** completed proposal package (with all necessary approvals) to ORA in a timely manner for institutional review and submission
- **Assumes primary responsibility** for the scientific/technical and administrative management of sponsored projects

Departments, Sections & Colleges

- Ensure that all sponsored projects are **consistent** with OUHSC's mission and the educational, research and public service objectives of the unit
- Ensure the **appropriate commitment of OUHSC resources** (personnel and equipment/facilities)
- Determine **PI eligibility**
- Approve **cost sharing** commitments
- Review **project costs** to ensure allowability and realistic projections
- Assists PI in developing **proposal budgets**; verifies accuracy of title and pay scales
- Assists PI with **routing** of proposal package to ORA

Office of Research Administration (ORA)

Pre-Award & Post-Award Non-Financial

- Serves as a **central resource** to faculty and staff of both the Oklahoma City and Tulsa Health Sciences Center campuses for all aspects of research, training, and public service activities
- Provides information regarding **funding sources and opportunities**
- Provides **guidance** to faculty and staff regarding proposal preparation
- Responsible for **reviewing and submitting** all proposals to extramural sponsors. Acts as the liaison between the University and sponsors
- Coordinates **sponsor requests** for additional information
- **Negotiates and executes** all basic research, clinical research, public service, professional service, provider, affiliation agreements, and other agreement types
- Serves as the **office of record** for all proposals

Grants & Contracts Accounting (GCA) Post-Award Financial

- **Provides** post-award administration and financial support to PIs and Sponsors.
- Responsible for all activities concerning external and internal audits of sponsored program **expenditures** and the resolution of audit exceptions.
- Responsible for **assuring compliance** of cost sharing, effort reporting, cost allowance, and both direct and indirect facilities and administrative cost allocations.

Internal Routing For Approvals

When to Route?

Route

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

Do Not Route

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

Maybe Route (Check with SPA)

- Some internally funded grants
- Pre-applications or "white paper" submissions typically do not require routing but can if a budget or institutional signature is required

Internal Routing Timeline

- **3-day review policy**
 - ORA must receive finalized, complete proposal documents for review **3 full University business days prior to sponsor deadline.**
 - All routing in SoonerTrack, including applicable departmental approvals, must be completed in SoonerTrack before or by 5pm on the applicable date that meets the 3-day deadline requirement.
 - It is imperative that submissions are received in advance to ensure that ORA has sufficient time to review the proposal.
 - Missing the deadline
 - A waiver from the Interim Vice President for Research is required.

ORA Expectations

- *A fully approved Request Form* must be submitted for each funding proposal, before the submission of the proposal to the funding agency.
- Institutional approvals (department, dean, faculty participants) are collected before ORA receives the Request Form. Once the internal signatures are secured, then *ORA has authority to legally submit the proposals on behalf of the University.*

Note: Proposals are routed through SoonerTrack

- Anyone (e.g. PI or Department Staff) can initiate a Request Form in SoonerTrack.
- All Key Personnel on a proposal are required to complete their compliance forms.

ORA Review and Submission Process

- Sponsored Program Administrator (SPA) uses SoonerTrack Request Forms, guidelines, and application to perform review.
- SPAs use General Discussions to communicate with Department Staff or PI (and vice versa) if there are questions about the Request Form. Department/PI should address discussion comments and make corrections to documents as applicable.
- SPA forwards completed application to the Authorized/Signing Officials for review, approval, and signature as necessary.
- **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.

Timeline Complications

- **Subaward/Subrecipient or another campus:** Involvement with another institution and its rules and timelines
- **Missing components:** Program guidelines are not followed carefully and result in missing some of the proposal documents.
- **Incorrect assumptions, particularly with the budget:** Failure to include a required cost like fringe benefits or indirect costs
- **Foreign Component:** Must be routed through Export Control for approval prior to submission

Common Mistakes When Routing a Request Form in SoonerTrack

1. Associated Compliance Form has not been approved by the PI or Key Personnel.
 - The Request Form is not considered received by ORA if Compliance Forms are not approved by all key personnel.
 - Every Request Form with the exception of subs-out and ICAs will have an associated Compliance Form.
2. Choosing Resubmit instead of Save.
 - Resubmit is used to restart the routing process.
3. Using the Request Review Additional Form to request a status update instead of utilizing the search dashboard.

Application Preparation Checklist

Application Preparation Checklist

- Eligibility conditions met
- All required forms are uploaded in SoonerTrack or the sponsor submission system
- Project title matches the SoonerTrack Request Form
- Institutional information are entered
 - FWA #: D16- 00104
 - Unique Entity Identifier (UEI): GY8NMUZQXVS7
 - Employer Identification Number (EIN): 73-1563627
 - Signing Officials – leave it blank
 - Board of Regents of the University of Oklahoma Health Sciences Center
 - Award email address: ORANOA@ouhsc.edu

Formatting Requirements

- Follow FOA requirements and standard page limits
- A few formatting particulars
 - [How to Apply-Application Guide](#) page,
 - “[Format Attachments](#)” under “Write Application”
- **Fonts**
 - Font requirements apply to all attachments
 - The following typefaces are recommended for text in PDF attachments
 - Arial, Georgia, Helvetica, Palatino Linotype.
 - Other fonts are acceptable if they meet the requirements on the format attachments.
- **Margins**
 - need to be at least 1/2 inch (top, bottom, left, right) for all pages
 - NO information should appear in the margins (do **not** include headers or footers), including PI name or page numbers, as pagination is system-generated

Formatting Requirements (continued)

- **PDF File names**

- are 50 characters or less (including spaces)
- can use one space (not two or more) between words
- should avoid use of “&”/ampersand
- Note: all attachments must be in PDF format (NIH).

- **Hyperlinks and URLs**

- are only allowed when specifically noted in funding opportunity announcement and form field instructions (e.g., biosketches, publication lists)
- when allowed, hyperlink the actual URL text rather than hiding the URL behind a specific word or phrase
- reviewers are not obligated to view linked sites; **don't** use hyperlinks anywhere else in your application
- applications submitted with hyperlinks will be considered non-compliant and will be withdrawn before review.

Use of Words in Contracts or Grants

- **Ensure vs. Assure**

OUHSC contracts should preferably not “ensure” or “assure” the actions of investigators or the University because we cannot control the actions of individuals. Legal Counsel prefers to “require, instruct, verify and/or obligate”.

- **Certify vs. Certification**

OU cannot certify (effective August 7, 2001). This is the legal equivalent of an indemnification or warranty. Substitute with “represents”, “states”, or “agrees”.

Exceptions:

1. OUHSC can certify or warrant if it is required by federal law, such as in debarment provisions and federal conflicts of interest provisions.
2. OUHSC can certify or warrant facts as well (i.e., okay to certify or warrant that university representative has the authority to sign agreement).

Budget Preparation Checklist

- Appropriate F&A Rate
 - On/Off campus
 - Type of project (Research, Training, Public Service)
 - Sponsor limits, etc.
- Use F&A and fringe rate from our most recent negotiated agreement
 - <https://research.ouhsc.edu/research-administration/resources/f-a-rates>
 - Cognizant agency
- Salaries
 - Base salary is total guaranteed salary
 - For HSC employees use base salary in PeopleSoft
 - For OUH/dual providers use base salary Hippocrates
 - Faculty limited benefit rate for OUH/dual provider

Budget Preparation Checklist (continued)

- Follows NIH salary cap for current FY: <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-22-076.html>
- Must be modular budget if direct costs \leq \$250k per period (check guidelines)
- Any budget restrictions (no more than 3% raises starting in the next fiscal year).
- NRSA increases for post docs and GRAs are encouraged.
- Personnel includes calendar months or %
 - PI must have effort even if no salary
 - Internal collaborators can be as needed (no %/\$)
- If a specific type of equipment is named, a sole source bid must be submitted at award.
- For external collaborations check the Scope of Work to verify it is appropriate for either subrecipient or vendor or fee for service.

Budget Justification Checklist

- Budget Justification categories should align with the line item budget.
- Specify cost of living increases
- Additional Narrative is included if different number of modules in budget periods or if exclusions from F&A (check guidelines).

Note: The Additional Narrative Justification is not needed in applications to FOAs with direct cost limits that do not spread evenly across budget periods (e.g., R21 FOAs that allow \$275,000 in direct costs over two years).

- If VA joint appointee, use template language.
- If OUH/dual providers, use template language.

Biosketch Requirements

- Limit the length of your biosketch to 5 pages or less
- Contributions to Science section should include up to five of your most significant contributions to science. For each contribution, you may cite up to four publications or research products that are relevant to the contribution (VA or foreign affiliations included).
- If you include the optional link to a full list of your published work in a site like My Bibliography the URL is .gov
- Additional guidance: <https://grants.nih.gov/grants/forms/biosketch.htm>

Additional Notes

- Cover letter must be included if continuous or late submission or required by FOA.
- Assignment Request form must be included if there are specific review requests.
- If IACUC marked, the Vertebrate Animals attachment is required. *No figures should be included in the attachment.*
- If IRB marked, Human Subjects study record tab should be completed.
 - If clinical trial, verify that FOA allows including a clinical trial.
- Appendix material included only if FOA allows
- Data Management and Sharing Plan is required (effective January 25, 2023).
 - <https://sharing.nih.gov/data-management-and-sharing-policy/about-data-management-and-sharing-policies/data-management-and-sharing-policy-overview>
- If there are subawards, consortium contractual file should be uploaded with the Letter of Intent and Scope of Work.
- No OUHSC employees as consultants unless special exception (see faculty handbook for rules)
- Norman employees should be listed as Subs. They *cannot* be listed on the HSC personnel portion of the budget.

Mentored Career Award (K)

- PI Eligibility
 - Postdoctorate/Residency, Early Career
 - U.S. citizen or permanent resident, with research or clinical doctoral degree.
- A candidate for a K01 Award may not simultaneously submit or have under review an application for any other PHS award that duplicates or highly overlaps with the provisions of the K01 award.
- Effort requirements: 9 person-months (75% full-time professional effort)
- Applicants must justify the need for a period of mentored research experience and convincingly describe how the proposed period of support will substantially enhance their careers as independent investigators.
- Other Support is required for mentors.
- Different ICs can have different limits/restrictions. Make sure you read the RFA.

Resources

- Office of Research Administration: <https://research.ouhsc.edu/ora>
- SoonerTrack: <https://fs.ou.edu>
- Find your SPA: <https://research.ouhsc.edu/research-administration/find-sponsored-program-administrators>
- Institutional information quick reference, budget spreadsheet, effort conversion table, and more: <https://research.ouhsc.edu/research-administration/resources>
- HSC Policies, Guidelines & Requirements: <https://research.ouhsc.edu/research-administration/policies-guidelines-requirements/ouhsc>
- Grants & Contracts Accounting:
<https://financialservices.ouhsc.edu/Departments/Grants-and-Contracts>

Contact Information

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QUESTIONS

