

# Proposal Submission Guidance for Departmental Administrators

Thursday, April 7 – 9:15-10:30 and  
10:45-12:00

# Workshop Presenters

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# Please ...

- Turn off cell phones.
- Avoid side conversations.
- Save your questions for the end of the presentation.
- Sign the attendance roster.
- Complete the evaluation at the end of the workshop.

# Overview of Presentation

- The purpose of this presentation is to:
  - Help you navigate the proposal submission process through OSPRA
  - Share information about what OSPRA looks for during their review
  - Provide you with tips and guidance you can use to help your faculty prepare their applications for external funding

# Where do I start?

One of your faculty has approached you about submitting a proposal for external funding and asked for your help. You are not sure where to begin what to do, who to ask, what to advise him or her. What do you do?



# Where do I Start?

1. Ask for a copy of the guidelines and review them carefully paying special attention to:
  - Deadline (date and time)
  - Application content
  - Required forms
  - Page limitations, margins, font size (OSPRA does not confirm)
  - Method of submission

# Where Do I Start?

- Limit on number of submissions per PI, institution
- Funding caps
- F&A information
- Cost sharing requirements
- Allowable/unallowable costs
- Representations and certifications
- Terms and conditions
- Other sponsor-specific requirements

# Where do I start?

## 2. Ask questions

### – Who?

- Who is the sponsor? What type of sponsor is it?
- Am I familiar with the sponsor? If not, do a web search to look for general guidelines for proposal development



# Where do I start?

- Will we be collaborating with another institution, either as a subcontractor or the lead? Ask for contact information for their business office
- Will there be co-PI's from UIUC departments? Which departments?

# Where do I start?

- What?
  - What type of activity will this be (e.g., basic research, instruction, other activity)?
  - What is the period of performance?
  - Where is the PI at in the proposal preparation process?

# Where Do I Start?

- Where is the PI at in the proposal preparation process?
- What is the amount being requested?
- Is cost sharing being committed?

# Where Do I Start?

- Is advance assistance needed from OSPRA?
  - For large projects (e.g., centers), it is advisable to bring OSPRA into the loop early
  - If there are terms and conditions that must be agreed to at time of submission
  - If lengthy representations and certifications are required at time of proposal submission

# Where do I start?

- When?
  - When is the submission deadline (date and time)?
  - What is my timeline for preparing the proposal?
    - Work backwards from the deadline
  - When do I need to have it finalized for delivery to OSPRA?
    - Ideally, the final proposal should be provided to OSPRA at least three to five (non-Grants.gov submissions) to five to ten (Grants.gov submissions) business days in advance of the deadline

# Where do I start?

- How will the proposal be submitted?
  - Electronically through the sponsor's submission system?
    - What system will be used?
    - Am I familiar with the electronic submission system?
    - Is the PI registered in the system where required? If not, how is registration accomplished?
    - Will OSPRA or you or the PI be submitting the proposal?
  - E-mail or paper?

# Where do I Start?

## 3. In coordination with the PI, develop a timeline

- Make sure you have a good understanding of the guidelines so you know what is expected
  - Discuss the segregation of duties - who will be doing what and when?
- Make arrangements for obtaining the budget information

# Where Do I Start?

- Try to arrange future meetings/communications to evaluate progress and finalize budget and application.
- Try to establish a date by when the proposal will be finished.
- Look at the OSPRA website for useful information including the fillable proposal transmittal form, budget template, current F&A and fringe benefit rates, electronic submission guidance for some sponsors, proposal submission process.



# Where do I Start?

- If other institutions are involved, make the initial contact via e-mail or phone and discuss what you/they need and by when
  - Letter from authorized institutional official in support of their participation
  - Detailed budget and justification
  - Statement of work

# Where do I Start?

4. Assist with/prepare the budget and justification
  - Include only allowable costs
  - Use the appropriate F&A rate
  - Include all project costs
  - Charge applicable fringe benefits
  - Budget templates are available on the OSPRA website
  - Level of detail in justification depends a lot on the requirements of the sponsor - a good budget justification will help the sponsor assess the reasonableness of the costs

# Where do I Start?

## 5. Prepare the proposal transmittal form

- It is an internal form that is intended to provide source data for to:
  - Gather data regarding proposal characteristics for reporting and other purposes
  - Evidence PI/co-PI acknowledgment of responsibilities and certifications
  - Obtain information regarding proposal deadline, how it will be transmitted and by whom, sponsor, cost sharing
  - Evidence of unit approval
  - Obtain information about project characteristics

# After Finalizing the Proposal

6. The proposal is completed and in its final state (five days before the deadline 😊). How does it get from you to the sponsor?
  - It needs to be provided to OSPRA – means of doing so are discussed later in the presentation
  - OSPRA has been delegated authority by the OVCR to submit proposals on behalf of the Urbana campus



# OSPRA Proposal Submission Process

- About a year ago OSPRA implemented a new proposal process. This process identifies a specific proposal coordinator who will be assigned to your department as well as a backup to accommodate vacations and times of high proposal volume. Our goal is for your departmental business person to have a point of contact who will become knowledgeable about your unit's activities. Visit <http://www.ospra.uiuc.edu/> to find out the coordinator who is assigned to your department.

# OSPRA Proposal Submission Process

Proposals for sponsored research funding are required to be submitted to OSPRA for review and approval prior to their submission to the sponsor. You should try to provide OSPRA with your final proposal as early as possible in advance of the deadline.

- Non-Grants.gov submissions: The final version of the proposals should be provided to OSPRA a minimum of three to five business days in advance of the deadline.
- Grants.gov submissions: The final version of the proposals should be provided to OSPRA five to ten business days in advance of the deadline.

# OSPRA Proposal Submission Process

- Why does OSPRA need time?
  - Proposal volume – in FY10, five full time proposal coordinators reviewed nearly 5,000 proposal transactions and a good part of them arrived on or very near the deadline
  - Adequate time to do a quality review
  - Frequent external submission system performance issues that require time to address
  - Electronic systems are not forgiving

# Components of a Proposal Package

- Generally, what do you need to provide to OSPRA?
  - A completed proposal transmittal form
    - You'll need to retain the original form for audit purposes
  - Proposal guidelines or a link to access them
  - Full proposal document (there are exceptions that will be discussed later)



# Components of a Proposal Package

- Required approvals for proposals include:
  - Original signatures for the PI and all UIUC Co-PI's – this may not be delegated
  - Approval of the Campus Department/Unit as evidence of budget approval, approval of proposal cost sharing, responsibility for compliance issues, etc.

# Components of a Proposal Package

- Additional approvals may be required:
  - Approval of the Schools/Colleges, in accordance with unit requirements
  - International approval is required when the proposal has a significant international component
  - Graduate College approval is required for pre-doctoral graduate fellowships

# Components of a Proposal Package

- Waivers of F&A on projects
  - Not necessary if sponsor (other than a for profit sponsor) has a published policy that addresses F&A rates
  - If there is no published policy, the PI must petition Melanie Loots in the OVCR for a waiver
  - Approval of waiver must accompany proposal
- F&A recovery on State of Illinois projects
  - 100% State funds – 10% of Total Direct Costs (TDC)
  - State and Federal funds – 20% of TDC
  - 100% Federal Pass Through – Federally negotiated rate

# Components of a Proposal Package

- **FINAL Proposal Document:** This is what will generally be submitted to the sponsor and may include, but is not necessarily limited to:
  - Project Summary
  - Project Narrative
  - Budget and Budget Justification
  - Curriculum Vitae
  - Facilities and Resources
  - References
  - Other Support

# Getting the Proposal to OSPRA

- Number of proposal copies: one copy for OSPRA records (with the exception of NSF and Grants.gov proposals which are discussed later) and, if OSPRA will be shipping the proposal to the sponsor, the number of copies required by the solicitation

# Getting the Proposal to OSPRA

- If OSPRA is shipping the proposal, a non-grant account (C-FOP) should be provided on the transmittal form to cover shipping expenses
- If the proposal includes any subcontractors, OSPRA needs the subcontractor's statement of work, budget, budget justification and an letter signed by an authorized official of the subcontractor's entity which evidences approval for participation in the project

# Getting the Proposal to OSPRA

The proposal document is not required for:

- NSF Fastlane proposals –
  - The only required documentation is the transmittal form, subaward documents, and cost sharing support letters, if applicable – a hard copy of the proposal need not be provided
  - The proposal should be in its FINAL status when the transmittal form is faxed to OSPRA
  - OSPRA must be allowed View-Edit-Submit access in Fastlane in order to submit the proposal

# Getting the Proposal to OSPRA

- Grants.gov proposals –
  - The only required documentation is the transmittal form, subaward documents, and cost sharing support letters, if applicable – a hard copy of the proposal need not be provided
  - The proposal should be in its FINAL status when the transmittal form is faxed to OSPRA



# Getting the Proposal to OSPRA

- Grants.gov proposals (cont'd) –
  - The proposal document should be uploaded into Netfiles, a secure file-sharing system using the instructions that are available on the OSPRA website at <http://www.ospra.uiuc.edu/forms.html>

# Getting the Proposal to OSPRA

- For Fastlane and Grants.gov proposals
  - The transmittal form may be sent to OSPRA via the OSPRA website <http://www.ospra.uiuc.edu/> “Contact OSPRA” or faxed to OSPRA at 239-6830. The original transmittal form should be kept on file at the unit for auditing purposes.
  - OSPRA’s receipt of the transmittal form serves as notice that the proposal is ready for submission. If it’s not ready, don’t send the transmittal form.

# Revisions, Supplements, Continuations

- Revised Budgets
  - A transmittal form is not required, but...
    - Let us know the UI eRA #
    - Communicate any deadline
    - Include an impact statement, if applicable
    - NSF Fastlane revisions – still need to notify us even if we have been allowed View-Edit-Submit access

# Revisions, Supplements, Continuations

- Supplementary funding requests
  - Require a transmittal form
  - Period of performance (POP) is normally within the project POP

# Revisions, Supplements, Continuations

- Non-competing continuations (NIH eSNAP)
  - Require a transmittal form
    - A fillable form is available on the OSPRA website
    - E-mail or fax it to OSPRA
- NIH non-competing continuations that are submitted hard copy also require a transmittal form

# What is OSPRA Looking for during the Review Process?

- Proposal Review Checklist – is the document that OSPRA proposal coordinators use as a proposal review outline
- It includes the following areas:
  - General information regarding PI, sponsor, deadline, etc.
  - Transmittal Review
  - Budget

# What is OSPRA Looking for during the Review Process?

## – Transmittal review

- Space needed – if so, must be approved by Facilities and Planning
- F&A waiver – must be approved by OVCR
- Fellowship/traineeship – pre-doctoral request must be approved by the Graduate College

# What is OSPRA Looking for during the Review Process?

- Transmittal review (cont'd)
  - International programs – significant international component requires the approval of the Office of International Programs and Studies
  - Compliance marked – e.g., vertebrate animals, human subjects, etc.



# What is OSPRA Looking for during the Review Process?

- Text review
  - Signatures on proposal (if applicable)
  - Correct forms used (if applicable)
  - Proposal guidelines reviewed
    - Limited submission (approved by OVCR)
  - Certifications added
  - NCSA computer time allocation commitment

# What is OSPRA Looking for during the Review Process?

- Text review
  - Legal name – Board of Trustees of the University of Illinois (except for NIH proposals)
  - Address/FON/FAX – 1901 S. First St., Suite A, Champaign, IL 61820-7406, Ph: 217-333-2187, FAX: 217-239-6830
  - Project summary/abstract included
  - Voluntary committed cost sharing (NSF)

# What is OSPRA Looking for during the Review Process?

- Budget Review
  - PI salary
  - Fringe Benefits – appropriate rates are used
  - F&A rate – appropriate rate is used
  - Budget adds correctly
  - Cost sharing – if yes, is justification and approval provided?

# What is OSPRA Looking for during the Review Process?

- Budget review (cont'd)
  - Budget includes unallowables, e.g., administrative/secretarial/clerical, monthly telephone lines, cell phones, ISDN, memberships, postage, office supplies
  - Consultant – non-UIUC employee, named in proposal
  - Equipment list provided

# What is OSPRA Looking for during the Review Process?

- Budget Review (cont'd)
  - Subaward required
    - Budget, SOW, and letter of authorization included
  - USDI AFRI proposals
    - Is there a limit on the amount of annual request (varies by program)?
    - Is tuition remission included?
  - DoD section 6.1 funding

# Tips

- Make use of the OSPRA website
- Review the sponsor guidelines prior to contacting your proposal coordinator
- Submit as early as possible in advance of the deadline – submissions received close to the deadline do not get an adequate review
- The proposal should be in its FINAL status when it arrives at OSPRA

# Tips

- Don't include cost sharing unless it's mandatory
- Use the OSPRA budget templates that are available on our website – don't overwrite the formulas
- There is usually not a consistent answer to any given question – “it depends”

# Tips

- Additional/complex terms and conditions, reps and certs required at proposal submission often require careful scrutiny - let us know early if they are required
- OSPRA is your friend, not your foe



# Training Opportunities

- In February, 2011 OSPRA rolled out the Research Administration Management Program (RAMP)
- RAMP (Research Administration and Management Program) is a series of courses that are designed to offer insight into the world of sponsored programs, including the processes, policies, and procedures related to research administration at the University of Illinois at Urbana-Champaign.

# Training Opportunities

- The RAMP courses are intended to provide theoretical as well as practical knowledge to support departmental administrators and principal investigators in their research efforts.
- The Spring semester courses are full, but the RAMP series will resume in the Fall.

# Helpful Links

- OSPRA website  
<http://www.ospra.uiuc.edu/index.html>
- OBFS Manual, Section 16.1.5 - Sponsored Projects Administration  
<http://www.obfs.uillinois.edu/cms/one.aspx?portalId=909965&pageId=913918>
- FY11 Indirect Cost and Fringe Benefit Rates  
<http://www.obfs.uillinois.edu/common/pages/DisplayFile.aspx?itemId=937340>
- Grants.gov Application Guide  
<http://www.grants.gov/applicants/resources.jsp>

# OSPRA Information

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# Questions?

