Getting Out of the Gate
Finding Efficiencies in Project ID Set-up

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AGENDA

• The Prep Work
  Fundamentals of the Award Process

• At the Starting Gate
  OSR review criteria

• Hard Stop Roadblocks
  Items that prevent Project ID assignment and their solutions

• Avoiding Pitfalls and Potholes
  Responsibility breakdown

• Questions
THE PREP WORK
One Segment of the Life Cycle

Submission
  - Sponsor Guidelines
  - Budget
  - Narrative

Acceptance
  - Financial
  - Compliance
  - Legal

Assignment
  - Award
THE PREP WORK

Contributing Parties

• **Proposal Specialist (OSR or SPO)**
  • Reviews the proposal, approves the IPF, facilitates administrative sponsor communications prior to award

• **Program Administrator (OSR Only)**
  • Reviews and negotiates Awards, facilitates budgets, prior approval items, and administrative sponsor communication after funding

• **Financial Reporter (OSR Only)**
  • Management of invoicing, financial reporting, NOTRs, and close-out accounting

• **PI and Technical Staff**
  • Completing the funded project, managing applicable compliance individual to the project, technical reporting

• **Departmental Administrators**
  • Proposal submission, financial and administrative project management, point-of-contact for central office representatives
ACCEPTANCE PROCESS

1. Funding Notice Received
2. Review Awarding Documents
   - Contains all Attributes? YES -> Proceed, NO -> Contact Sponsor for Resolution
   - Requires Negotiation? YES -> Yes, NO -> Proceed
3. Completed IPP? YES -> Decreased Funding?, NO -> Proceed
   - Decreased Funding? YES -> COI Complete?, NO -> Request Revised Budget to Match Funding Level
   - COI Complete? YES -> Prompt Reminder in RAMSeS, NO -> Proceed
   - Protocol Identified in IPP? YES -> Research Subjects?, NO -> Request Protocol Modification
5. Submit to Data Management
   - Project ID Assigned
AT THE STARTING GATE
OSR Review Criteria

- Legal Review
- Financial Review
- Compliance Review
Legal Review

Institutional Impact
- Termination
- Record keeping requirements
- Difficult Financial Reporting Timeline
- Governing Law
- Survivability
- Use of UNC name and Logo
- Indemnification and the Tort Claims Act
- Inclusion under UNC Insurance

Departmental Impact
- Publication Restrictions
- Unfavorable Intellectual Property ownership
- Difficult Programmatic Reporting Timeline
- Ownership of Equipment
- Classified Information
- Unannounced Site Visits
- Restrictions on Data Access
Financial Review

- **Budget Reduction**
  Central office impartiality

- **Identify Cost-Share**
  Evaluation of proposal for any promised personnel or non-personnel cost-share

- **Budget Translation**
  Realigning the budget to ConnectCarolina accounting requirements

- **Currency Considerations**
  International Banking issues and exchange rate variances
Compliance Review

- **Conflict of Interest**
  - Disclosures are Proposal specific
  - Training is annual and independent of individual proposals
  - Facilitated through RAMSeS IPF and housed in AIR system

- **IRB/IACUC Compliance**
  - Congruency
  - Identifying if congruent and obtaining congruency
  - Other Compliance details
HARD STOP ROADBLOCKS
They’ll Get You Every Time

- **Protracted Negotiation**
  When troubling Terms strike

- **Internal Processing Form Foibles**
  Issues that occur when important information between the Award and the IPF don’t match

- **Less Money, More Problems**
  The need for a Revised Budget

- **Conflicted Interests**
  The who, what, where, when of Financial Conflict of Interest requirements at Award

- **Subject Woes**
  Having Protocols in order for Congruence

- **Vendor Identities (Subrecipients Only)**
  The new requirements for obtaining a subaward/subcontract Project ID
HARD STOP ROADBLOCKS

Protracted Negotiation

• **Identifying Troubling Terms at Pre-Award**
  Submissions that require acceptance of terms by submitting a proposal

• **Sponsor Track Record**
  Previous success in the negotiation process with this Funding Agency

• **Understanding and Communicating the Consequences of Bad Language**
  Worst Case Scenarios

• **Obtaining a Financial Guarantee**
  Pre-Award Project ID Assignment
  Responsibility and Submission
HARD STOP ROADBLOCKS

IPF Foibles

- **Process Education at all levels**
  Reminders to those likely to receive funding that IPFs are a **Pre**requisite

- **1:1 Ratio of Proposed Dollars to Funded Dollars**

- **Review the Award Documents against the IPF early**
  Compare funding against Total Funds Requested numbers

- **Submission of an internal Supplemental IPF**
  Required if funding level is above the Total Funds Requested in original IPF
HARD STOP ROADBLOCKS
Less Money, More Problems

• Clear and Concise Budget Documents
  Post-Award Clean Slate Effect

• Identifying the Need for a Revised Budget Early
  Determining if there is any change in scope based on funding changes
  Revised documents from Subrecipients

• Communicating with your Program Administrator
HARD STOP ROADBLOCKS

Conflicted Interests

• **Inclusion of Correct Personnel in IPF**
  
  Be mindful of personnel outside your unit or organization
  
  Subrecipient inclusion in UNC-CH FCOI coverage

• **Conflict of Interest Program Office and Management Plans**
  
  coi@unc.edu and https://apps.research.unc.edu/air

• **RAMSeS System Hard Stop**
HARD STOP ROADBLOCKS

Subject Woes

• Check IPF for Inclusion of Subjects Protocols
  Prompt PI or Study Team to provide the correct protocols

• Identify Congruency
  Confirm that the IRBIS or ACAP records show that the Proposal is identified

• Recommend Early Submission

• Waiver Certification and Temporarily Restricted Money
  PI and Department certification that no research subjects activity will take place until compliance is obtained
  Funds relevant to such activity restricted until Approved/Congruent protocol is provided
  Be mindful of spending against these dollars!
HARD STOP ROADBLOCKS

Vendor Identities

Relevant ONLY to Subrecipient Agreements

• Identifying Subrecipients at Pre-Award

• Obtaining Vendor ID within ConnectCarolina
  IRS Form W-9
  ConnectCarolina Vendor Guide:
  (https://ccinfo.unc.edu/files/2015/05/Campus-Vendors-Student-Guide.pdf)
AVOIDING PITFALLS & POTHOLES

• Open Communication

• Informed Researchers
  Faculty, Study Team, Post-Docs, Students

• Complete Documents
# Responsibility Matrix

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QUESTIONS?