

# 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

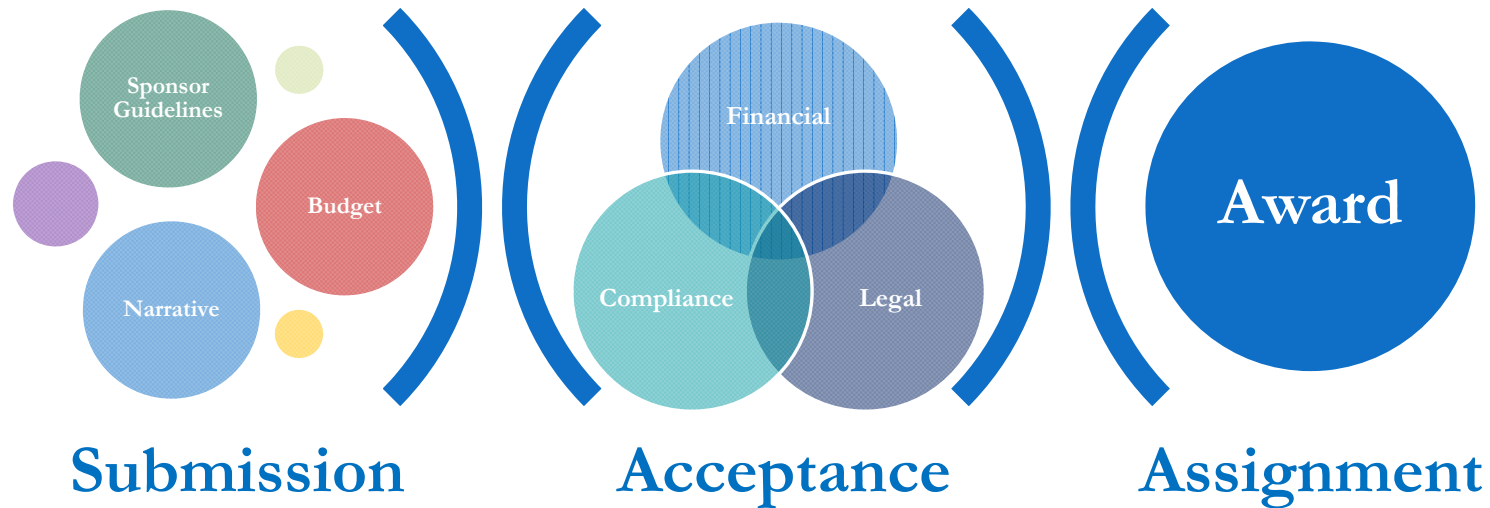
- **Avoiding Pitfalls and Potholes**

Responsibility breakdown

- **Questions**

# THE PREP WORK

One Segment of the Life Cycle

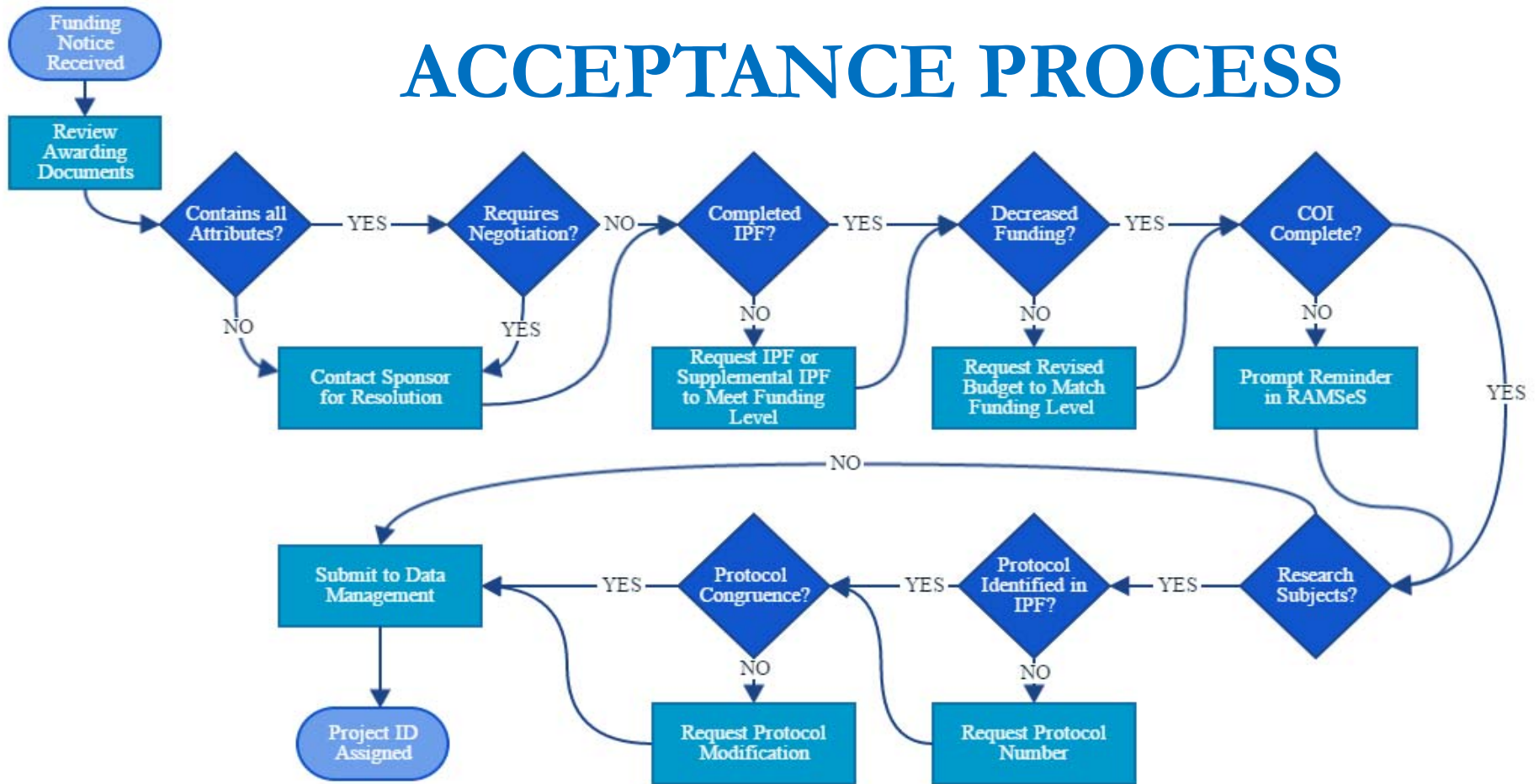


# THE PREP WORK

## 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

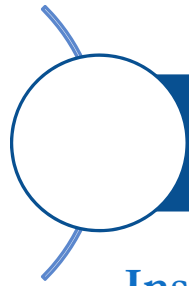
# ACCEPTANCE PROCESS



# AT THE STARTING GATE

## OSR Review Criteria





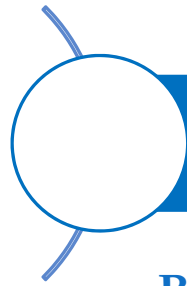
# Legal Review

## 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

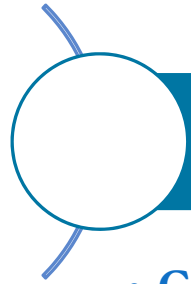
- Publication Restrictions
- Unfavorable Intellectual Property ownership
- Difficult Programmatic Reporting Timeline
- Ownership of Equipment
- Classified Information
- Unannounced Site Visits
- Restrictions on Data Access



# 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 PRErequisite

- **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](mailto: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

(<http://www.irs.gov/pub/irs-pdf/fw9.pdf>)

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

	OSR/SOP Pre-Award	OSR Post-Award	Department	PI and/or Study Team
Revised Budget			X	
IRB/IACUC Submission				X
Financial Guarantee		X	X	
Congruency				X
Communication w/ Sponsor	X	X		
Negotiation	X	X		
COI Training and Disclosure				X
Submission of IPF			X	
IPF Approval	X			

QUESTIONS?

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