



Research Administration Forum

12/16/2020

Agenda



- **Updates, announcements**
- **PDDs and Me: Techniques for an Efficient Proposal Routing Process**
 - **Chris Sittler, Jesús Orduño, SPCS**
Proposal Services, Sponsored Projects Administrators
- **Open Q&A**
- **January 2021 RA Forum**
 - Wednesday, January 20, 2021 9:00AM

Updates, Announcements

- **Furlough Program Reconciliation Tool**

- **UAccess Analytics > Dashboards > Employee > Compensation > Furlough and Furlough > Hours Tracking – Detail**

- Training about how to use the furlough dashboards for reconciling SET's
- Contact Marcel Villalobos (marcel) or Tara Gonzales (tgonzale)
- See 12/2/20 Ramtalk from Marcel

- **Updated F&A Waiver Process**

- **rgw.arizona.edu > Administration > Build a Budget > Facilities & Administrative (F&A) Costs**

- F&A Waiver Request Template
- F&A Waiver Request FAQs

Zoom etiquette reminders



- Please remain muted when you're not speaking
- If you have a comment/question – please type in the group chat or wait for an opening to begin speaking
- Thank you for joining!

- Suggest Future forum topics
sponsor@email.arizona.edu
- Present a topic
 - Share research administration tools (reports, agents, etc.), lessons learned
 - Tips & tricks, coming changes, conferences



UNIVERSITY OF ARIZONA
RA FORUM PRESENTS

PDDs and Me:

Techniques for an Efficient Proposal Routing Process

Jesús Orduño

Christopher Sittler

December 16, 2020



ABOUT

The Proposal Development Document (PDD) can be overwhelming, especially when you are unsure about why and how it is used.

In this RA Forum we are going to go over some basics to help you overcome your PDD fears, and help smooth the process of developing and routing a proposal through UAR.

WHAT WE'RE COVERING

- Policies and Guidelines
- Frequent Mistakes/Issues
- Minimum Requirements
for the PDD
- Campus Proposal
Information Resources

WHY DOES THIS MATTER?

- Compliance Protecting the University of Arizona
 - OMB Uniform Guidance: 2 CFR § 200
- Internal Upkeep
 - UAR system functionality
 - Function across systems
- Reducing Administrative Burden

A man in a dark suit, light blue shirt, and patterned tie is shown from the chest up, looking slightly to the right with a thoughtful expression. The background is plain white.

Why are you
the way that you are?

Three Day Deadline

The proposal should be routed and the submission package should be released to SPCS at least three full business days before the due date



LATE PROPOSAL REQUESTS

If the stress of proposal routing brings you straight to the wire and the PDD has not reached SPCS within the three day deadline, you may wish to submit a late proposal request. The request form can be found in the Research Gateway. Please fill it out entirely and provide a thorough explanation. If the request is approved, we will deviate from the "first in, first out" submission order.

A request form that is incomplete or otherwise improperly filled out may result in rejection of the late proposal request.



FREQUENT MISTAKES / ISSUES

During the review process, mistakes/issues with the proposal can range in severity. Some will require the initiator to update an attachment, and few will require a re-route, but the majority of issues are updated by the Proposals Team leaving these unresolved over time. Here we will go over some of the most frequent problems we encounter.

PROJECT TITLE

Why would the title be such a big deal? Well, for a few reasons:

- Sponsor Requirements:
 - NSF title requirements, such as "Collaborative Research" (not CR!!) or in many cases, RFP specific prefixes
- Matching Systems:
 - Sponsor emails sometimes contain the title and very little information—having a matching title between UAR and sponsor systems saves time and reduces the administrative burden for ourselves and the sponsor
- Glitches:
 - Special characters, such as "quotation marks" can cause glitches in our workflow system

PROPOSAL TYPE

New

- Proposal not previously routed, not connected to an existing award

Resubmission*

- Iteration of a proposal that was previously submitted
- Making an administrative change to a proposal not yet awarded

Renewal (Competing)*

- Request for additional funds for a period subsequent to that provided by award
- Competing with all other applications—fully developed proposal

Continuation*

- NIH specific, updating or clarifying a previously routed budget


Revision*

- Proposal for supplemental funds not previously routed for an existing award/project

Admin Change*

- Internally routed for an administrative update to Awarded project, i.e. PI change, lead unit change, credit/F&A splits
- If not yet awarded, resubmission should be used for an administrative update

*Remember to include the Original IP or Award ID



The following slide will define a scenario for a proposal. Please read the description and its corresponding question.

We will open a Canva Live session for this activity. Please join the session on your device to submit your answers and reasoning.

We receive a proposal development document with NIH as the sponsor. The proposal includes a one year budget for a grant that has already been awarded. The department's research administrator is asking whether this PDD should be coded as a Continuation or a Revision.

What would be the determining factor in deciding the proposal type?

PROPOSAL ACTIVITY TYPE

Why is this important?

- The activity type is determined at the PDD stage and classifies the purpose and activity of a proposal/award. This code is used to determine the Higher Education Function Code in UAccess Financials.
- The Higher Education Function Code will determine the F&A rate used in the proposal.
- Cannot switch mid-project. Please pick the activity that best covers the life of a project and is reflective of the merits of the activity taking place. This is not an opportunity to shop F&A rates.

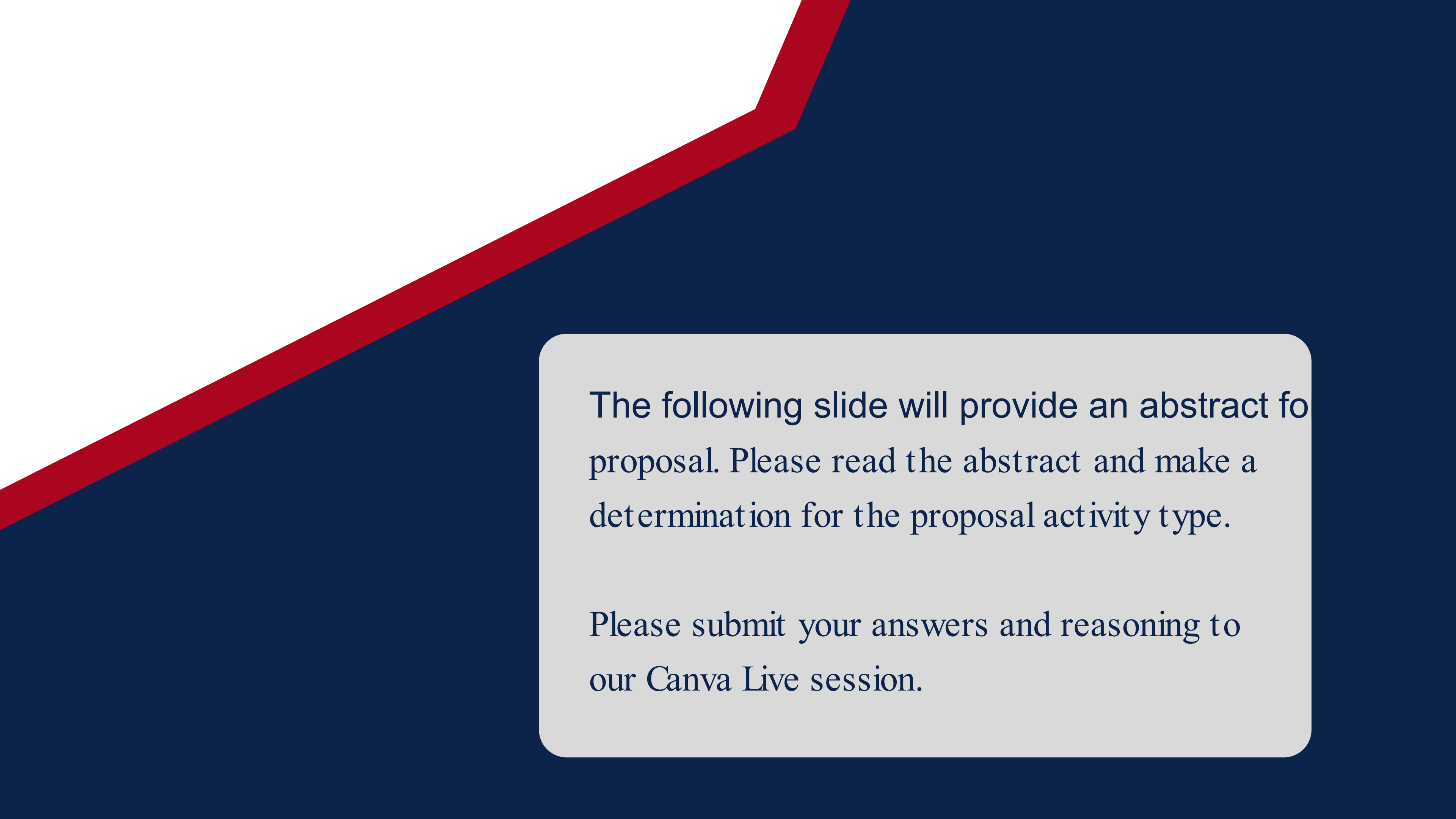
Items to Note

- For proposals with elements of all activity types, select the activity type that is the preponderance of the activity.
- Sponsors will often provide funding for select types of programs or initiatives that will state or imply the activity type.
- SPCS and FSO reserve the right to make final determination on activity type.

PROPOSAL ACTIVITY TYPE

Nature of Scope of Work and Key Words

- Research - Focused, systematic study and investigation undertaken to increase knowledge and understanding of a subject by testing hypotheses and permitting conclusions to be drawn with the intention of contributing to general knowledge.
 - Key Words - Data collection; Designing; Investigation or Experimentation; Discover or Evaluation; Developing novel ways of viewing or approaching a problem; Process analysis to provide a research outcome; Publishing results; etc.
- Instruction - Teaching/training activities/projects that share existing knowledge or skills to college students or professionals.
 - Key Words - Academic credit; Instructing faculty and staff or professionals; Support for writing textbooks or reference books; Student recruitment or education improvement activities; etc.
- Other Sponsored Activities - Public/Community service and outreach activities or projects, as well as miscellaneous sponsored projects that are not clearly instruction or research activities.
 - Key Words - Community Health Outreach or Telemedicine; Community Service; Pre-college instruction/education/promotion (K-12 teaching/training activities); Teaching/Training benefiting non-profession or the general public; Demonstration activities; Editorships; etc.



The following slide will provide an abstract for a proposal. Please read the abstract and make a determination for the proposal activity type.

Please submit your answers and reasoning to our Canva Live session.

This project aims to use new technologies to document and visualize tribal perspectives in southeastern Utah's Canyon Country cultural landscapes, focusing on three key audiences: (i) the visiting public; (ii) agency land managers in training, and (iii) public lands stakeholders, including Native American tribes, natural and cultural resources professionals, and the tourism and recreation sector. Using ethnographic, geospatial, and photogrammetric methods, drawing on feedback from mix of tribal consultations and broad stakeholder meetings, the project will produce an interactive, immersive virtual reality (VR) tool, allowing visitors and other BLM stakeholders to experience Canyon Country cultural landscapes, guided by narration of BLM stakeholders including affiliated Native American tribal elders, archaeologists, conservationists, and land managers, and the tourism and recreation sector. This project will enhance understanding of a range stakeholder perspectives among the visiting public, inform and orient trainee agency land managers, and promote increased knowledge of and respect for places of cultural and economic significance in Canyon Country. By creating archival quality audiovisual records of tribal perspectives, the project will generate new potential for interpretive and educational resources, within and beyond the proposed VR platform. Notably, in light of travel restrictions and other mitigation measures arising from the COVID -19 pandemic, these materials would provide valuable opportunities for remote access to such experiences, including accessibility to those in vulnerable populations, and those with limited mobility or other disabilities that may limit access to BLM lands.

DUE DATE AND PERIOD OF PERFORMANCE

It is important to pay close attention to the due date and the period of performance of a project when submitting a proposal. Keep in mind, many solicitations include the earliest start date.

Although these can be updated relatively easily, it is best to get this right from the start.

Especially if subawards are included—many institutes have set rates that automatically update with the period of performance. Changing this may require them to rework the budget entirely!

DEFINING THE SOLICITATION

A major component of our review is the identification and review of the solicitation, otherwise known as: RFP, FOA, RFA, BAA, and other various acronyms.

How do we identify it in the PDD?

- Opportunity ID: The number assigned to the solicitation
 - Typically a combination of letters and numbers, often with spaces or hyphens
- Opportunity Title: The actual title of the solicitation
 - Although a hyperlink is helpful, it does not replace the title—it can be included in addition to the title

Example:

Here we have a typical solicitation page from NIH, which provides essential details required for a proper review of a proposal.

Department of Health and Human Services

Part 1. Overview Information

Participating Organization(s)	National Institutes of Health (NIH)
Components of Participating Organizations	National Institute on Deafness and Other Communication Disorders (NIDCD)
Funding Opportunity Title	NIDCD Mentored Career Development Award for Postdoctorate Au.D./Ph.D. Audiologists (K01 Clinical Trial Required)
Activity Code	K01 Research Scientist Development Award - Research & Training
Announcement Type	Reissue of PAR-18-435
Related Notices	None
Funding Opportunity Announcement (FOA) Number	PAR-21-085



Opportunity ID:

Opportunity Title:

<https://grants.nih.gov/grants/guide/pa-files/PAR-21-085.html>



Opportunity ID:

PAR-21-085

Opportunity Title:

NIDCD Mentored Career Development Award for Postdoctorate Au.D./Ph.D. Audiologists (K01 Clinical Trial Required) <https://grants.nih.gov/grants/guide/pa-files/PAR-21-085.html>

PERSONNEL

All named personnel are verified in Employee Cross Reference and/or DCC search. This includes people listed in the Key Personnel tab, as well as others that are named in the justification and/or budget.

- Can you find them?
 - If an individual is named as personnel on the project, whether Key/Senior or Other, they must be currently employed by the University of Arizona
 - Uniform Guidance, 2 CFR § 200.430
- Matching the KP Tab to the Justification
 - Key/Senior Personnel should always be named, and they should always be included in the Key Personnel (KP) tab
 - Remember to separate out Key/Senior and Other Personnel in the justification
- Who can serve as PI?
 - When Appropriate: include a mentor as Co-I if a GRA or Postdoc is the PI

DEFINING THE F&A RATE

Consistency is Key!

- There are two primary locations where we look to see if the F&A rate has been appropriately identified: Custom Data Tab and Budget Versions Tab (BVT).
- On/Off Campus designation in the BVT should reflect the Project Location in the Custom Data Tab

To TDC, or to MTDC... Know the Difference

- The BVT has two locations where you must select between TDC and MTDC
 - Unrecovered F&A Rate Type is always MTDC
 - MTDC: This is used if the F&A rate applied has any exclusions, even if the rate is stipulated by the sponsor. If the F&A rate is 0%, use MTDC.
 - TDC: This is used if there are no exclusions to the F&A rate—all costs bear F&A, or F&A is stipulated at a fixed cost

STIPULATION

A requirement by a governmental organization, industry, or domestic non-profit for reduced reimbursement of F&A costs. Must be a formal, published policy, coming from the bylaws, published agency, guidelines, administrative regulation, formal solicitation, program announcement, or application kit.

If the stipulation does not exist, a letter stating the restriction of F&A can be used, but:

- The rate must apply universally
- It must be a letter, on official letterhead
- It must be endorsed by the CEO, CFO, Contracts/Grants Officer, or equivalent

WAIVER

A waiver may be granted if there is no stipulation and there is good reason to apply a reduced F&A rate.

- F&A Waiver Request Template
- The ~~Three Day Deadline~~

Five Day Deadline!


See: RGW/F&A Costs

READ CAREFULLY!

Read the stipulation carefully before you start punching numbers!

Sponsors may define categories that are excluded from bearing F&A (MTDC), or, in some cases, indicate a Total Cost (TC) rate!

- Example: "Indirect Costs may not exceed ten (10) percent of the grant award."



The following slide will provide a sponsor stipulation. Please read it over and identify the F&A rate and type.

Please submit your answers and reasoning to our Canva Live session.

NIH Solicitation PA-20-142 has the following stipulation:
Indirect Costs (also known as Facilities & Administrative [F&A] Costs) are reimbursed at 8% of modified total direct costs (exclusive of tuition and fees, consortium costs in excess of \$25,000, and expenditures for equipment), rather than on the basis of a negotiated rate agreement.

What would be the F&A rate and type?

What steps need to be taken in the PDD to properly document this rate?

MINIMAL REQUIREMENTS FOR PROPOSAL ROUTING

The PDD should be completed as much as possible!

In addition to completing the appropriate fields in the various tabs, the proposal must have the appropriate documents attached in the *Abstracts & Attachments (A&A)* tab so our review can take place.

Here we will discuss the bare minimum required for a proposal route.

THE BIG THREE

- Scope of Work/Summary
 - A brief summary of the project
 - This should be short and sweet, but inclusive. What will take place when this project is funded? Does this match the Questions Tab?
- Budget
 - (Preferably) an excel spreadsheet that itemizes the project costs
 - Does this match the BVT? Are the expenses categorized appropriately? Are current fringe rates applied? Is the F&A rate applied correctly? Is cost share included?
- Justification
 - A narrative that outlines and describes the budget
 - Does this mirror the budget? Are items in the correct category? Do the category/terms follow sponsor guidelines?

ADMIN CHANGES:

THE EXCEPTION TO THE RULE

Admin Changes should include the SOW, budget, and justification, and the BVT should be zeroed out.

Alternatively, an Admin Change should always include a note about what is changing.

You can still include attachments, and in some cases should. For example, a change in lead unit typically includes correspondence with a unit approver acknowledging the change.

IDENTIFYING OTHER ATTACHMENTS

Subawards:

- For each subaward, a separate SOW, budget, and justification must be included.

Stipulations:

- If the project uses a stipulated F&A rate, this must be included as an attachment.

Waiver:

- If a waiver is being requested, fill out the F&A Waiver Request Template and include it in the attachments—remember the five-day deadline!

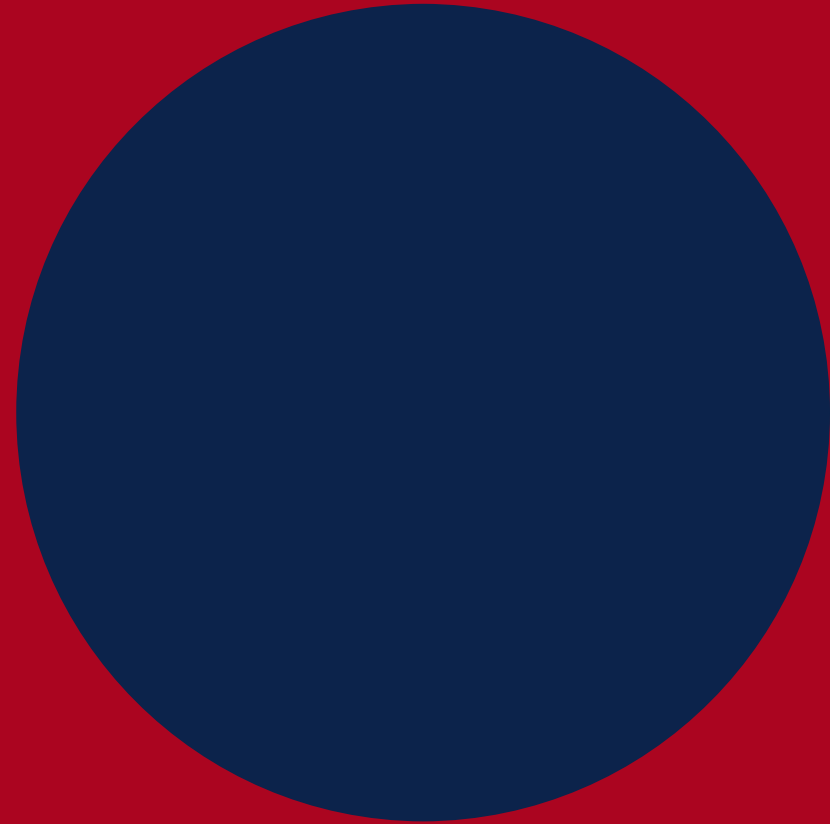
Signature Needed:

- Many proposals require a Letter of Intent/Commitment or a Subrecipient Commitment Form (SRCF) that requires an AOR signature. Be sure to attach anything that requires our review/signature so that these can be completed with the review.

GOING THE EXTRA MILE

- Attach the RFP/FOA/solicitation
 - Although it is not required, this is our favorite thing to see. Attaching the solicitation can save us time tracking it down, and this can be a major burden for non-Federal sponsors.
- Making Note: You know the proposal better than we do. To ensure that we provide an efficient review, it is vital that you include all relevant information. The notes section in the Abstracts and Attachments tab is the best place to add this information.
 - Notes included in the A&A tab are extremely helpful
 - Examples:
 - How is the proposal being submitted? Is the PI/department submitting directly to the sponsor?
 - Do you have the package ID?
 - Does something in the PDD need to be updated?





RESOURCES

SPONSOR RESOURCES

The most significant resource available to the RA Community is from external stakeholders.

The sponsor has various resources available that should be explored first and foremost:

- Sponsor Guidelines: GPS (NIH), PAPPG (NSF), ROSES (NASA)
- FAQs
- Sponsor websites
- Program Officer—when in doubt, it is always good to check with the PO

Another important resource is Uniform Guidance. Uniform Guidance is a set of authoritative rules and regulations about federal grants from the Office of Management and Budget (OMB). Although generally specific to federal grants, Uniform Guidance also instructs our policies.

- Uniform Guidance: <https://www.law.cornell.edu/cfr/text/2/part-200>

UARIZONA RESOURCES

- Using the RA Community
 - Reach out to one another, form networks!
- Research Gateway
 - This is your primary resource for UArizona Research policy/procedures
- SPCS - Emailing sponsor@email.arizona.edu
 - We are here to assist, but we also utilize the same resources

listed here. When emailing a question, it is recommended that you provide your findings so we can work with you to determine the best way forward.

UARIZONA LINKS

<https://rgw.arizona.edu/administration/institutional-information>

<https://rgw.arizona.edu/administration/build-budget/F-A-Costs>

<https://rgw.arizona.edu/administration/build-budget/FA-Costs/FA-rates>

<https://rgw.arizona.edu/administration/proposal-preparation/application-guides>

<https://rgw.arizona.edu/research-administration/proposal-preparation/types-of-proposals>

<https://rgw.arizona.edu/administration/home/forms-and-templates>

https://rgw.arizona.edu/sites/default/files/uar_proposal_data_guide_rev2018-01.22.pdf

https://rgw.arizona.edu/sites/researchgateway/files/uaccess_research_user_guide-5_2_1.pdf

UNDER CONSTRUCTION

PLANNING IS UNDER WAY IN RESEARCH GATEWAY

We are currently working to update Research Gateway to include more resources, and update policy to be more clear. We welcome your feedback—what resources would you like to see made available to assist the UArizona RA Community?

Thank You for joining us!