Office of Research Services

An Overview of the PAF, Budget and Proposal Routing Basics
Workshop Presenters

Mike Anderson, Senior Research eRA Coordinator
Office of Research Services (ORS)
1737 West Polk Street, Suite 304
Administrative Office Building (M/C 672)
Chicago, Illinois 60612-7227
Phone: (312) 996-2243
Fax: (312) 996-9005
E-mail: ander020@uic.edu

Megan Konley, Research Information Coordinator
Office of Research Services (ORS)
1737 West Polk Street, Suite 304
Administrative Office Building (M/C 672)
Chicago, Illinois 60612-7227
Phone: (312) 996-7751
Fax: (312) 996-9005
E-mail: mkonley@uic.edu
Office of Research Services (ORS)

The Office of Research Services (ORS) is responsible for sponsored program activity, including research, instruction, and public service at the University of Illinois at Chicago.

The ORS assists faculty and staff on all stages of sponsored activity
- ORS assists with proposal development, review and endorsement of proposals, submission of electronic proposals, negotiation and execution of contracts, reporting, receipt and processing of the Notice of Awards.
- ORS provides interpretation of sponsor guidelines, and ensuring compliance with both agency and University policies.

Office of Research Services (ORS)
310 Administrative Office Building
1737 West Polk Street
Chicago, Illinois 60612
Reception: 312.996.2862
Fax: 312.996.9005
Email: awards@uic.edu

Luis R. Vargas, Executive Director
E-mail: lrvargas@uic.edu
Phone: 312.996.6150

Amneh Kiswani, Interim Associate Director
E-mail: akiswani@uic.edu
Phone: 312.996.9406
VISIT ORS ONLINE
http://tigger.uic.edu/depts/ovcr/research/proposals/index.shtml

Research@UIC

Grant & Contract Proposals

ARRA ORS Submission Process

Welcome to ORS—the Office of Research Services!

ORS handles all pre-award and non-financial post-award activities.
Pre-award activities include activities from the pre-proposal stage
to the receipt and processing of the award, up to the point of
account set up. We assist faculty and staff in proposing
development, review and endorsement of proposals, submission
of electronic proposals, negotiation and execution of contracts,
reporting, receipt and processing of the Notice of Awards (NOA),
interpretation of sponsor guidance, and ensuring compliance with
both agency and University policies. We also develop and
communicate institution-wide policies specific to sponsored
programs.

Our ultimate goal is to support sponsored research by providing
exceptional service, expertise, and education while maintaining a
collaborative model of stewardship among all University faculty and
staff.

Stay up-to-date with changes related to sponsored programs—join
our listserv!
Common Proposal Types

- **Research Project Grants (R01s)**
  - Funding up to 5 years, capped at $500,000 direct costs per year
- **Exploratory/Developmental Research Grants (R21s)**
  - Funding for 2 years, capped at $275,000 direct costs total
- **Career Development Awards (Ks, including K99/R00)**
  - Funding up to 5 years, must commit to 75% effort or more, permission may be granted to lower effort to 50% or more in last two years.
  - K99/R00 – Pathway to Independence Award - 2 phase (mentored and independent)
- **Ruth L. Kirschstein National Research Service Awards (NRSA training grants of fellowship)**
  - Funding up to 5 years, promotes training of pre and postdoc fellows – stipend based
- **Other federal and non-federal projects, including non-profit foundation grants and fellowships**
- **Clinical Trials**
New and Early Stage Investigators

- NIH commitment to identify and ‘fast-track’ investigators who are new to research
  - **New Investigator**: applicant who has not yet competed successfully for a substantial research grant
  - **Early Stage Investigator**: a new investigator who has completed his/her terminal research degree or medical residency, whichever is later, within the past 10 years and has not yet been awarded a substantial, competing NIH research grant.
- Identified in NIH eRA Commons by searching for previous awards and degree dates in investigators profile
- In general, all grant opportunities are open to New and Early Stage Investigators
- For more information, visit: http://grants.nih.gov/grants/new_investigators/
Proposal Approval Form (PAF)

- The PAF is a critical component in your proposal submission to ORS
  - It communicates the most important pieces of information about your project
  - The number assigned to the PAF and the information captured within it will follow the project throughout the course of its “life”
- Download a new PAF before each submission
  - This will ensure accurate and up to date information for each submission
  - The forms are updated from time to time
Standard Institutional Information

- **Legal Applicant**
  The Board of Trustees of the University of Illinois  
  MB 502, M/C 551  
  809 S. Marshfield Avenue  
  Chicago, IL 60612-7205

- **All checks should payable to:**
  The Board of Trustees of the University of Illinois  
  Mailed to:  
  University of Illinois @ Chicago – Grants and Contracts  
  PO Box 20787  
  Springfield, IL 62708-0787  
  FEIN #37-6000511 (tax #)

- **Contact for all research related Administrative Matters (ORS)**
  Luis Vargas, Executive Director  
  UIC Office of Research Services  
  1737 W. Polk Street, 304 AOB Building  
  Chicago, IL  60612-7227  
  Email: awards@uic.edu  
  Phone: (312)996-2862  
  Fax: (312)996-9005
Budgets –
Direct Costs

- Salaries and Fringe Benefits
- Consultants
- Equipment
- Travel
- Materials & Supplies
- Patient Care Costs
- Subcontracts
- Other Direct Costs
  - Tuition Remission
  - General Services
Budgets -
F&A (Indirect Costs)

- Operation and maintenance
- Departmental administration
- Sponsored programs administration
- General administration
- Utility costs
F&A (Indirect Cost) Rates

The University of Illinois Indirect Cost rates are negotiated with the Office of Naval Research (ONR)

List of rates and definitions located at:

http://www.obfs.uillinois.edu/grants/indirect-cost-rates/
Institution: THE UNIVERSITY OF ILLINOIS AT CHICAGO
CHICAGO, ILLINOIS 60612

The Facilities & Administrative (F&A) Rates contained herein are for use on grants, contracts and/or other agreements issued or awarded to The University of Illinois at Chicago by all Federal Agencies of the United States of America, in accordance with the provisions and cost principles mandated by 2 CFR 220. These rates shall be used for forward pricing and billing purposes for the University of Illinois at Chicago’s Fiscal Years (FY) 2011 through 2013. This rate agreement supersedes all previous rate agreements for FY 2011.

SECTION I: RATES - TYPE: PREDETERMINED (PRED)

<table>
<thead>
<tr>
<th>Type</th>
<th>From</th>
<th>To</th>
<th>Rates</th>
<th>Base</th>
<th>Applicable Function</th>
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<tr>
<td></td>
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<td>On-Campus</td>
<td>Off-Campus</td>
<td></td>
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<tr>
<td>PRED</td>
<td>7/1/10</td>
<td>6/30/11</td>
<td>40.4%</td>
<td>26.0%</td>
<td>(a) Instruction</td>
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<td>6/30/13</td>
<td>43.6%</td>
<td>26.0%</td>
<td>(a) Instruction</td>
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<td>6/30/11</td>
<td>57.0%</td>
<td>26.0%</td>
<td>(a) Organized Research</td>
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<tr>
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<td>6/30/12</td>
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<td>26.0%</td>
<td>(a) Organized Research</td>
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<td>6/30/13</td>
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<td>26.0%</td>
<td>(a) Organized Research</td>
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<td>6/30/13</td>
<td>36.0%</td>
<td>26.0%</td>
<td>(a) Other Sponsored Activities</td>
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</table>
Modified Total Direct Costs (MTDC)

Total direct costs excluding:

- Equipment in excess of $500 (per unit cost)
- Capital expenditures
- Charges for patient care and tuition remission
- Rental costs
- Each subcontract in excess of $25,000
MTDC Formula

MTDC Base:
Total direct cost LESS exclusions
(i.e.: Tuition Remission, Equipment)
## Typical Grant Budget MTDC

<table>
<thead>
<tr>
<th>Name</th>
<th>Role</th>
<th>Effort (Cal Month)</th>
<th>Effort (%)</th>
<th>IBS</th>
<th>Salary Requested</th>
<th>Fringe</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>John Dow</td>
<td>Principal Investigator</td>
<td>1.2</td>
<td>10</td>
<td>$100,000</td>
<td>$10,000</td>
<td>$3,833</td>
<td>$13,833</td>
</tr>
<tr>
<td>Lisa Smith</td>
<td>Co-Investigator</td>
<td>1.2</td>
<td>10</td>
<td>$75,000</td>
<td>$7,500</td>
<td>$2,875</td>
<td>$10,375</td>
</tr>
<tr>
<td>David Johnson</td>
<td>Lab Assistant</td>
<td>12</td>
<td>100</td>
<td>$50,000</td>
<td>$50,000</td>
<td>$19,165</td>
<td>$89,165</td>
</tr>
<tr>
<td>TBD</td>
<td>RA</td>
<td>3.6</td>
<td>30</td>
<td>$30,000</td>
<td>$9,000</td>
<td>$257</td>
<td>$9,257</td>
</tr>
</tbody>
</table>

| Supplies      | $2,500.00       |
| Tuition Remission (42%) | $3,780.00       |
| Equipment     | $3,000          |
| Travel        | $2,500          |

| MTDC          | $107,630        |
| F&A 59.5      | $64,040         |
| Total Cost    | $178,450        |
Total Direct Costs (TDC)

- All direct costs included in calculation of the indirect costs if the sponsor pays less than UIC’s full negotiated indirect rate.
  - Unless sponsor specifies otherwise…

Exception: IRB fees are excluded from calculating indirect costs on industry sponsored clinical trials
## Typical Grant Budget TDC

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount</th>
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</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>40,000</td>
</tr>
<tr>
<td>Employee Benefits</td>
<td>10,000</td>
</tr>
<tr>
<td>Supplies and Services</td>
<td>13,000</td>
</tr>
<tr>
<td>Travel</td>
<td>1,000</td>
</tr>
<tr>
<td>Tuition Remission</td>
<td>3,000</td>
</tr>
<tr>
<td>Equipment</td>
<td>3,000</td>
</tr>
<tr>
<td><strong>Total Direct Costs</strong></td>
<td><strong>71,000</strong></td>
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<tr>
<td>Indirect Costs (10% TDC)</td>
<td>7,100</td>
</tr>
<tr>
<td><strong>Total Costs</strong></td>
<td><strong>78,100</strong></td>
</tr>
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No Internal Line Item budget is required

Budget is calculated in modules of $25,000

Examples of funding mechanisms that utilize the modular budget format:

- R01 (with direct costs not exceeding $250,000 in any year of the project)
- R21 (exploratory/developmental research grants)
- R03 (small grants)
- R15 (academic research enhancement award)
- R34 (clinical trail planning grants)
- AHRQ does not allow modular budget submissions
Detailed /Traditional Budget

- Line item budget detail is required (ie; personnel, supplies, travel, other direct costs)
- If applicable, subaward budget(s) are required
- Normally MTDC unless agency guidelines indicates otherwise
Sample Detail/Traditional Budget

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| Supplies      |                       |                    |            |         | $2,500.00       |
| Tuition Remission (42%) |               |                    |            |         | $3,780.00       |
| Equipment     |                       |                    |            |         | $3,000          |
| Travel        |                       |                    |            |         | $2,500          |
| MTDC          |                       |                    |            |         | $107,630        |
| F&A 59.5      |                       |                    |            |         | $64,040         |
| Total Cost    |                       |                    |            |         | $178,450        |
A Good Budget…

- Is complete
- Is adequate
- Is within sponsor norms
- Follows sponsor guidelines
- Is consistent with the narrative
- Is justified clearly
- Includes changes in costs over the course of the project
Routing your proposal to ORS

Documents required for adequate review

- **PAF** – all fields completed and accurate, all required signatures (PI, co-investigators, department heads, dean if applicable to your department)
- **Scope of work/abstract** (or full research plan if finalized)
- **Budget pages and budget justification** — initial year and outlying years, must include indirect costs
- **Sponsor application forms or required documents for submission that need review and approval/VC signature** - examples include facepage/coversheet, consortium letter, institutional assurances
- **IDC waiver and sponsor guidelines for budgets using less than full IDC rate**
ORS Suggested Deadlines

- **Grants.gov submissions** – 7 business days in advance of the sponsor’s deadline (PAF and Grants.gov file).

  Email FINAL grants.gov file to awards@uic.edu, cc Mike Anderson (ander020@uic.edu) and Megan Konley (mkonley@uic.edu)

- **All other electronic submissions** – 5 business days in advance of the sponsor’s deadline.

- **All paper submissions** – 3 business days in advance of the sponsor’s deadline.

- **Additional time may be necessary if your proposal involves an IDC waiver form or clearances from UIC Hospital or MRI Center**
### Where do I go for help?

**Office of Research Services (ORS)**
- Proposal and budget review
- Online submission of proposals
- Requests from sponsors regarding pending and awarded projects
- Negotiation, execution, and modification of contracts
- Receipt and processing of the Notice of Award
- No-cost extensions on grants and contracts
- Prior approval requests/notifications, i.e. permission to carry forward funds, change of PI, change of scope, and significant rebudgeting
- Sign-off for relinquishing documents, grant transfers, and NIH Final Invention Statements
- ICR waivers

**Office of Grants & Contracts**
- Set up of sponsored project accounts & budgets in Banner
- Set up of anticipation accounts
- Creation/removal of subcontract and consultant encumbrances
- Processing of IPAS/OPAS requests
- Inquiries related to
  - Billing for sponsored projects
  - Payments to sponsored projects
  - Financial reporting
  - Project closeout
  - Allowable expenses
- Approval of cost transfer JVs involving sponsored project funds
- F&A & tuition remission adjustments
- Rates (F&A, Tuition Remission, Fringe Benefit)
- Audit/Compliance issues
How to get Status Updates

- **UleRA: (University of Illinois Electronic Research Administration):** UIC’s grants management system captures the progress on submitted proposals, contracts. ORS also uploads all documents and the final contract.
  - Investigators/Business Managers: access to view/track your proposals and award documents on-line. Send your email request for "UleRA Access" to uierahelp@uillinois.edu.
Questions?