

# Office of Research Services

**An Overview of the PAF, Budget  
and Proposal Routing Basics**

# Workshop Presenters

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# Office of Research Services (ORS)

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- 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  
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# VISIT ORS ONLINE

<http://tigger.uic.edu/depts/ovcr/research/proposals/index.shtml>



The screenshot shows the Research@UIC website interface. At the top, there are four navigation tabs: "Grant & Contract Proposals", "Protocol Review", "Funding Opportunities", and "Technology Transfer". Below these is a banner image with the text "Research@UIC" and "Office of Research Services". A sidebar on the left contains a menu with items: "Submitting Proposals", "eRA", "Grants.gov", "Preparing Budgets", "Receiving Awards", "Negotiating Contracts", "Export Control", "Forms", "Policies", "Glossary", and "Contact Us". The main content area is titled "Grant & Contract Proposals" and includes a breadcrumb trail "Research@UIC > Grant & Contract Proposals". The primary heading is "Grant & Contract Proposals" in red, followed by a link to "ARRA ORS Submission Process". A welcome message states: "Welcome to ORS—the Office of Research Services!". The main text describes ORS's role in handling pre-award and post-award activities, including proposal development, review, and execution of contracts. A right-hand sidebar titled "ANNOUNCEMENTS" lists several updates: "NEW! Revised PHS 2590 Now Available - Policy Changes Implemented", "NEW! New Requirement for eRA Commons User IDs", "NEW! NIH- Restructured Forms and Instructions for Submissions for FY2011 Funding", and "NEW! Researcher of the Year Award".

Grant & Contract Proposals | Protocol Review | Funding Opportunities | Technology Transfer

## Research@UIC

Office of Research Services

### Grant & Contract Proposals

Submitting Proposals | eRA | Grants.gov | Preparing Budgets | Receiving Awards | Negotiating Contracts | Export Control | Forms | Policies | Glossary | Contact Us

[Research@UIC](#) > Grant & Contract Proposals

### 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 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 (NOA), interpretation of sponsor guidelines, 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!](#)

#### ANNOUNCEMENTS

**NEW!** [Revised PHS 2590 Now Available - Policy Changes Implemented](#)

**NEW!** [New Requirement for eRA Commons User IDs](#)

**NEW!** [NIH- Restructured Forms and Instructions for Submissions for FY2011 Funding](#)

**NEW!** [Researcher of the Year Award](#)

# Common Proposal Types

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- 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

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- 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/](http://grants.nih.gov/grants/new_investigators/)

# Proposal Approval Form (PAF)

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- 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

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- 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  
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# Budgets – Direct Costs

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- 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)

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- Operation and maintenance
- Departmental administration
- Sponsored programs administration
- General administration
- Utility costs

# F&A (Indirect Cost) Rates

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- 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/>

# F&A Agreement

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)**

<u>Type</u>	<u>From</u>	<u>To</u>	<u>Rates</u>		<u>Base</u>	<u>Applicable Function</u>
			<u>On-Campus</u>	<u>Off-Campus</u>		
PRED	7/1/10	6/30/11	40.4%	26.0%	(a)	Instruction
PRED	7/1/11	6/30/13	43.6%	26.0%	(a)	Instruction
PRED	7/1/10	6/30/11	57.0%	26.0%	(a)	Organized Research
PRED	7/1/11	6/30/12	59.0%	26.0%	(a)	Organized Research
PRED	7/1/12	6/30/13	59.5%	26.0%	(a)	Organized Research
PRED	7/1/10	6/30/13	36.0%	26.0%	(a)	Other Sponsored Activities

# Modified Total Direct Costs (MTDC)

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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

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- MTDC Base:

Total direct cost LESS exclusions  
(i.e.: Tuition Remission, Equipment)

# Typical Grant Budget MTDC

Name	Role	Effort (Cal Month)	Effort (%)	IBS	Salary Requested	Fringe	Total
John Dow	Principal Investigator	1.2	10	\$100,000	\$10,000	\$3,833	\$13,833
Lisa Smith	Co-Investigator	1.2	10	\$75,000	\$7,500	\$2,875	\$10,375
David Johnson	Lab Assistant	12	100	\$50,000	\$50,000	\$19,165	\$69,165
TBD	RA	3.6	30	\$30,000	\$9,000	\$257	\$9,257
					\$76,500	\$26,130	\$102,630
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)

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- 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

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Salaries	40,000
Employee Benefits	10,000
Supplies and Services	13,000
Travel	1,000
Tuition Remission	3,000
Equipment	<u>3,000</u>
<b>Total Direct Costs</b>	<b>71,000</b>
Indirect Costs (10% TDC)	<u>7,100</u>
<b>Total Costs</b>	<b>78,100</b>

# NIH Grants.gov Modular Budget

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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 trial planning grants)
  - AHRQ does not allow modular budget submissions

# Detailed /Traditional Budget

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- 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

Name	Role	Effort (Cal Month)	Effort (%)	IBS	Salary Requested	Fringe	Total
John Dow	Principal Investigator	1.2	10	\$100,000	\$10,000	\$3,833	\$13,833
Lisa Smith	Co-Investigator	1.2	10	\$75,000	\$7,500	\$2,875	\$10,375
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# A Good Budget...

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- 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

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- 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

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- **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](mailto:awards@uic.edu), cc Mike Anderson ([ander020@uic.edu](mailto:ander020@uic.edu)) and Megan Konley ([mkonley@uic.edu](mailto: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

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- 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](mailto:uierahelp@uillinois.edu).



**Questions?**