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OVERVIEW OF GRANT PROCESS

- I. Identify potential funding mechanisms
 - A. Sources of funding: federal, local, foundation
 - B. Types of funding mechanisms: research, seed, bridge, fellowship, training, equipment
 - C. Proposal deadlines

- II. Prepare the proposal
 - A. Write a succinct summary of your grant that will intrigue reviewers
 - B. Develop an effective research team with multiple investigators
 - C. Follow the specific instructions for putting together the proposal
 - D. Solicit constructive feedback from experts and successful grant writers

- III. Submit the proposal
 - A. University routing form
 - B. Institutional approval forms: IRB, IACUC, IBC, Radiation safety
 - C. Grant administrative pages: face sheet, budget, everything but the science
 - D. File copies to ORA and COP

- IV. Revise and resubmit the proposal

Do it all again, revising the proposal to address the concerns of the reviewers that were raised the last time

- V. Activate the award
 - A. Provide a copy of the approval letter to Paula Meder so that she can arrange for a university account number (chart field spread) for your grant
 - B. Use chart field spread for allowable research-related expenses

OFFICE OF RESEARCH ADMINISTRATION

GENERAL INFORMATION

Overview

The Office of Research Administration (ORA) serves as a central resource to promote the research, education and service missions of the University by encouraging and fostering health-related activities and increasing the quality and quantity of research, training, and public service programs at the Health Sciences Center. The office provides information and administrative assistance to faculty and staff for developing and submitting proposals to external sponsors.

Website Resources

The ORA website contains useful information relevant to the preparation and submission of proposals: <http://w3.ouhsc.edu/ora>

- OUHSC routing forms and instructions
- F&A rates and fringe benefit rates
- Sponsor links
- Pre-filled NIH face and checklist pages
- Link to current NIH forms and instructions
- Links to IRB, IACUC, IBC, Radiation Safety

ORA Contact Information

Phone number: 405-271-2090

FAX number: 405-271-8651

Address: LIB 121

Joseph Waner, Ph.D.

Vice President for Research

Mary Cotter-Lalli, Ph.D.

Director of Sponsored Programs, Office of Research Administration

Lisa Asch, M.S., M.P.H.

Associate Director, Office of Research Administration

Crystal Keene

Sponsored Programs Administrator for Clinical/Pharmaceutical Agreements

Aimee Van Wagoner

Sponsored Programs Administrator for Grants and Service Contracts

GRANTS & CONTRACTS ROUTING

General Information

- Grants and Contracts awarded to the University
- Must be signed by Institutional Official
- University responsible for financial and administrative compliance with
 - ✓ Federal regulation and State law
 - ✓ Sponsor terms and conditions
 - ✓ Representations and certifications
- Non-compliance can result in loss of future awards

What to Route through ORA

- All Grant applications (including fellowships and scholarships)
 - New
 - Non-competing continuations, competing renewals
 - Supplements
 - Electronic submissions
 - Applications with OUHSC as Subcontractor
 - Transfers
- All Contracts
 - New
 - Renewals
 - Amendments

Turnaround Times

- Grants
 - ✓ As soon as possible
 - ✓ Allow plenty of time for ORA to complete the review
 - ✓ Allow time for corrections to be made before making copies to submit to Sponsor
- Contracts
 - ✓ Days to week(s) depending on negotiation process
 - ✓ Let ORA know how time sensitive

GRANTS & CONTRACTS

INSTITUTIONAL REVIEW

Grants

Grant pages ORA reviews

- ✓ Sponsor form pages
- ✓ Budget – itemized and justification; allowable, allocable, reasonable
- ✓ Scientific section not required

What ORA looks for in Grant Applications

- ✓ Accuracy of institutional information
(<http://w3.ouhsc.edu/ORA/grants/orafacepage.htm>)
- ✓ Use of current fringe benefit rate
(<http://w3.ouhsc.edu/ORA/grants/orafringerates.htm>)
- ✓ Use of current indirect cost (F&A) rate
(<http://w3.ouhsc.edu/ORA/grants/oraindirectcosts.htm>)
- ✓ Accuracy of budget and F&A calculations
- ✓ Allowability of budgeted costs
- ✓ Completeness of budget justification
- ✓ Compliance with Sponsor guidelines
- ✓ Inclusion of all required form and certification pages
- ✓ Inclusion of required letters of intent and letters of support
- ✓ Submission of institutional paperwork – IRB, IACUC, IBC, Radiation Safety

Contracts and Agreements

ORA reviews, negotiates, and executes the following types of contracts and agreements:

- Basic research agreements (Mary Cotter-Lalli)
- Clinical research agreements (Mary Cotter-Lalli)
- Public service agreements (Lisa Asch)
- Professional service agreements (Lisa Asch)
- Provider agreements (Lisa Asch)
- Affiliation agreements (Lisa Asch)
- Confidentiality agreements
- Material transfer agreements

Note:

Please remember: ORA is responsible for “money-in” agreements;
Purchasing is responsible for “money-out” agreements.

Exceptions: ORA is responsible for preparing subawards, subcontracts, and other agreements from incoming grants and contracts.

GENERAL INFORMATION

Sponsored programs are externally financed activities restricted by a contractual agreement. Externally sponsored activities that are un-restricted will be subject to college guidelines on Gifts (under development). Faculty are encouraged to seek the assistance of Paula Meder as early as possible to assist with the administrative compilation of their grant or contract.

Procedures for grants:

1. Principal Investigator (PI) will generate and sign the appropriate routing form, and obtain the Chair's signature on the routing form (Tulsa based PIs will obtain Dr. Desselle's signature on the routing form prior to forwarding to OKC for the Chair's signature).
2. PI, or Administrative Secretary, will deliver the proposal, the detailed budget (for modular grants, a general categorical budget with detail for personnel only should be provided), and the routing form to Paula Meder (271-6593, ext. 47271). PIs should provide the administrative portion of this package to Paula Meder as early as possible to allow sufficient time to confirm administrative completeness and budgetary accuracy.
3. Paula Meder will review the proposal for administrative completeness, coordinate any necessary administrative modifications with the PI, and coordinate routing through the College for required signatures (Associate Dean for Research, Assistant Dean for Administration, Dean of College).
4. Paula Meder will maintain a copy and deliver the original to ORA (with consent from PI).

These procedures will be completed within one working day utilizing back-up approvers, such as Vice-Chairs, as necessary. Paula Meder will serve as the single point of contact for the PI and will coordinate all subsequent correspondence with other university offices.

Procedures for contracts:

1. PI will generate and sign the appropriate routing form, and obtain the Chair's signature on the routing form (Tulsa based PIs will obtain Dr. Desselle's signature on the routing form prior to forwarding to OKC for the Chair's signature). The PI, or Administrative Secretary, will deliver the proposal, the detailed budget, and the routing form to Nick Richardson (271-6751, ext. 47203).
2. Nick Richardson will review the proposal for administrative completeness, coordinate any necessary administrative modifications with the PI, and deliver it to the Assistant Dean for Administration.

3. Nick Richardson will copy the agreement and routing form, enter it into the college database, retain a copy, and deliver the proposal and original routing form to ORA.

These procedures will be completed within one working day utilizing back-up approvers, such as Vice-Chairs, as necessary. Nick Richardson will serve as the single point of contact for the PI and will coordinate all subsequent correspondence with other university offices.

4. Nick Richardson will monitor and document all activity in the agreement tracking database. Nick Richardson will also generate reports for review by others as needed.

ORA will route all grant award documentation to Paula Meder and all other contract or agreement execution documentation to Nick Richardson.

Purchase Contracts

If an outside entity is providing goods or services to the college, the college is providing payment, and a written agreement exist, the agreement must be routed through Purchasing with an appropriate requisition. Nick Richardson will create requisitions to accompany agreements to be forwarded to Purchasing. A purchase order will be issued and payment may be made after receipt of a proper invoice.

Facilitative & Administrative (Indirect) Cost Rates

Facilities and Administrative (F&A) costs are to be included in the budgets of all grant applications, research agreements, clinical trial agreements, public service agreements, and training agreements and can be found at the following: <http://w3.ouhsc.edu/ora/grants/oraindirectcosts.htm>.

Sponsored Pharmaceutical Research (Clinical Trials)

No clinical trial or other sponsored pharmaceutical research activities may be initiated prior to approval of a sponsored program routing form and execution of a formal contractual agreement between the University and the pharmaceutical sponsor. Each agreement should include a detailed budget with a 25% indirect cost charge applied to the total direct costs. This indirect cost rate is composed a 10% mandatory allocation to the university and 15% allocation to the department.

Un-funded Grant Proposals

The PI will forward written notifications of un-funded proposals to Paula Meder. Paula Meder will note their files and notify Nick Richardson who will notate the rejected proposal in the database.

Contract Information

Paula Meder	271-6593	Ext. 47271
Nick Richardson	271-6751	Ext. 47203
Lan Palasz	271-6751	Ext. 47367

CHECKLIST FOR GRANT APPLICATIONS

PREPARE ADMINISTRATIVE PAGES FOR PROPOSAL (USUALLY THIS INCLUDES EVERYTHING BUT THE SCIENCE)	
Submit institutional approvals (e.g. IRB, IACUC, IBC, Radiation safety); not necessary for NIH grants but needed for all others	
Prepare routing form and obtain signatures (using final version of administrative pages; the scientific portion of the proposal can still be in draft form) – It is suggested to route the pages at least a week in advance while continuing to work on the science; to facilitate tracking and progression of the process, it is strongly encouraged to use Paula Meder in the College of Pharmacy to oversee the routing through the College and between ORA	
Submit complete, signed blue routing form with grant application form pages to ORA (the scientific section is not required for ORA approval)	
ORA reviews application and contacts Principal Investigator or designated contact if modifications are required to comply with Sponsor and University guidelines	
ORA will notify designated contact when grant is signed and ready for pick up	
Submit final version of the proposal to the appropriate agency	
Copy to (Aimee Van Wagoner)	
Copy to (Paula Meder)	

CHECKLIST FOR CONTRACTS/AGREEMENTS

CONTACT ORA TO ASSIST IN THE PREPARATION OF THE PROPOSAL BEFORE APPROACHING SPONSOR TO PROTECT INTELLECTUAL PROPERTY RIGHTS AND REDUCE NEGOTIATING TIME	
Submit institutional approvals (e.g. IRB, IACUC, IBC, Radiation safety)	
Prepare routing form and obtain signatures; It is strongly encouraged to use Nick Richardson to facilitate tracking the status of the proposal and to keep the process moving forward	
Submit complete, signed white or yellow routing form with contact/agreement to ORA; Inform ORA of time sensitivity	
ORA reviews contract and obtains Legal Counsel review	
ORA negotiates contract terms with Sponsor in accordance with legal review	
ORA may contact Principal Investigator for certain approvals (budget, contract terms, etc.) during the negotiation process	
Principal Investigator agrees to changes.	
Institutional approvals are required prior to ORA signing final contact (e.g. IRB, etc.)	
A fully executed copy of contract is forwarded to Principal Investigator	
Submit file copy of final contract to COP (Nick Richardson)	

Please note:

Potential outcomes after legal review and/or negotiation process for contracts may include:

- ORA types in required changes; initials and signs contract, returns to Sponsor by FAX or mail; or
- ORA makes modifications to electronic contract, signs and returns to Sponsor; or
- Sponsor sends revised agreement or OUHSC for signature.

GRANTS & CONTRACTS

RESPONSIBILITIES AFTER AN AWARD IS MADE

AFTER A GRANT IS AWARDED OR A CONTRACT IS EXECUTED,

ORA is responsible for:

- ✓ Preparing subcontracts, consulting and service agreements
- ✓ Preparing amendments
- ✓ Rebudget requests
- ✓ No-cost extension requests
- ✓ Carry forward requests
- ✓ Transfers, terminations
- ✓ Changes of Principal Investigator requests
- ✓ Other administrative correspondence to Sponsor

Note: Most correspondence to a Sponsor requires signature by an OUHSC institutional official

The Principal Investigator is responsible for:

- ✓ Execution of the project in an appropriate and timely manner
- ✓ Management of the budget and review of reconciliation
- ✓ Management of personnel working on the project/cost certifications
- ✓ Submission of progress reports
- ✓ Submission of final report
- ✓ Approval of final invoice for grant (dissolution of any remaining funds)

The College of Pharmacy is responsible for ("C" accounts):

- ✓ Financial reporting to the investigator, college, university: Paula Meder.
- ✓ Effecting hiring and terminating project personnel: coordinate with Paula Meder.
- ✓ Effecting the ordering of supplies and equipment: coordinate with Lan Palasz

The College of Pharmacy is responsible for ("MISCD" or "MISCA" accounts):

- ✓ Financial reporting to the investigator, college, university: Lan Palasz
- ✓ Effecting hiring and terminating project personnel: coordinate with Nick Richardson.
- ✓ Effecting the ordering of supplies and equipment: coordinate with Lan Palasz