



UVA Research Open Forums



Join us for the UVA Research Open Forum Series!

To help keep the UVA Research community updated and gain feedback on future improvements, the OVPR will host multiple **Open Forums**.

- December 4: **OSP - Post-Award**





OSP PRE-AWARD OPEN FORUM

November 20, 2024

AWARD LIFECYCLE AT UVA

OSP Pre-Award assists in every area of the award lifecycle from planning through closeout:

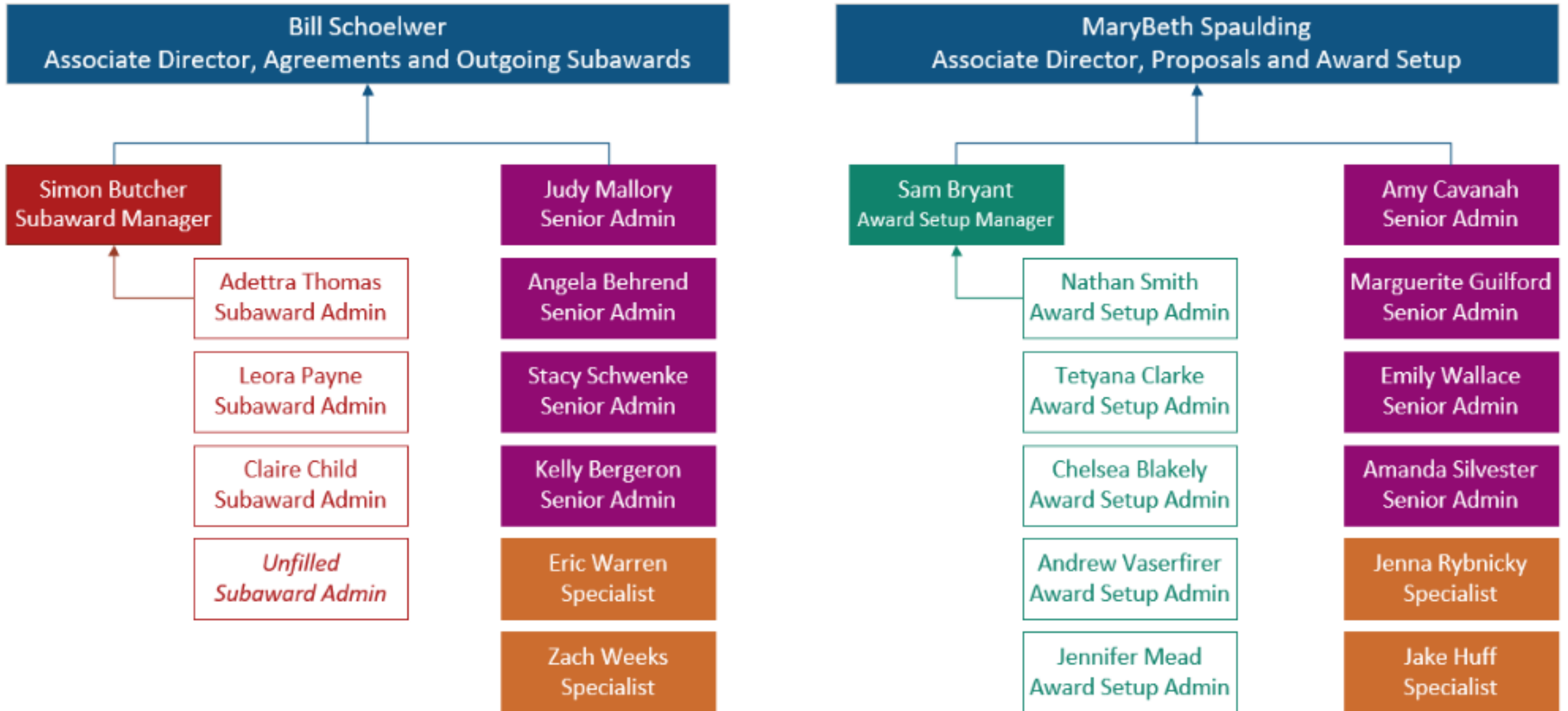


AWARD LIFECYCLE AT UVA

UVA's Delegated Proposal Submission Authority

- School of Medicine, School of Engineering and School of Education each have central office support with delegated authority to submit research materials on behalf of the University.
 - This includes all non-binding proposals (excluding classified research) and routine supplemental proposal/award information.
 - Proposals with unmitigated requirement to accept template or “pre-negotiated” terms and proposals containing budget for construction or renovation require OSP approval prior to submission.
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OSP PRE-AWARD TEAM



PLANNING

Proposal planning begins with proposal development through submission of pre-proposals and letters of intent.

- **Point of Contact:** [Pre-Award Senior Administrator](#)
 - **Pre-proposal materials:** Any submission to a sponsor, including a letter of intent, that requires a detailed budget, commitment of resources (including cost share), or an institutional signature.
 - Only OSP can commit UVA resources.
 - If you have questions, reach out to the [Pre-Award Senior Administrator](#) assigned to your cost center.
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PLANNING

- Proposal *development* is the responsibility of the department/unit administrator in coordination with the investigator, but OSP can assist with navigating RUVA, and point investigators to the right resources/tools for their specific needs.
 - Outside of OSP, the Research Development team works directly with faculty pursuing external funding for large, collaborative projects, and center-scale efforts of strategic institutional importance.
 - Many departments have Research Administrators to assist in proposal preparation, find yours here.
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PROPOSAL

Proposal stage incorporates routing and submission of a proposal in our electronic research administration system (RUVA) through any post-proposal sponsor requests.

– **Point of Contact:** Pre-Award Senior Administrator

– **Policies of Note:**

- RES-011: PI Eligibility includes an exception process for employees who do not otherwise meet the requirements to serve as PI.
 - RES-005: Requires a conflict-of-interest disclosure at time of proposal submission for all Investigators. See here for a Quick guide on creating and updating a disclosure in RUVA.
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PROPOSAL

Proposals route for department and school/ unit approvals before review by OSP.

Depending on your school/unit, there may be multiple steps for review and approval.



PI Certification and COI Disclosures must be completed before the proposal routes to Specialist Review (OSP).

PROPOSAL

- **Proposal materials:** OSP reviews the RUVA Funding Proposal, sponsor package, and budget(s) for compliance with all applicable regulations and sponsor guidelines.
 - **Limited submission opportunities:** Research Development manages an internal UVA selection process; ensure you have been selected internally for UVA before submitting to OSP.
 - **Subawards:** External Collaborators must be correctly identified as Subrecipient or Contractor. Any outgoing Subrecipient must submit a Consortium Commitment Form, Scope of Work, Detailed Budget, Budget Justification, and any other required documents according to the OSP website.
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PROPOSAL

Timing: Although OSP does not currently enforce a proposal submission deadline policy, it is best practice to provide **at least 3 business days** to review, sign, and submit a proposal to a sponsor. Three business days or more typically allows enough time for a high-quality proposal review. With adequate time to review a proposal, OSP can assist in making sure that important sponsor requirements are not missed, which could cause sponsor rejection of the proposal.

Note: Individual departments and schools may enforce a deadline policy. Refer to their proposal routing instructions for further information.

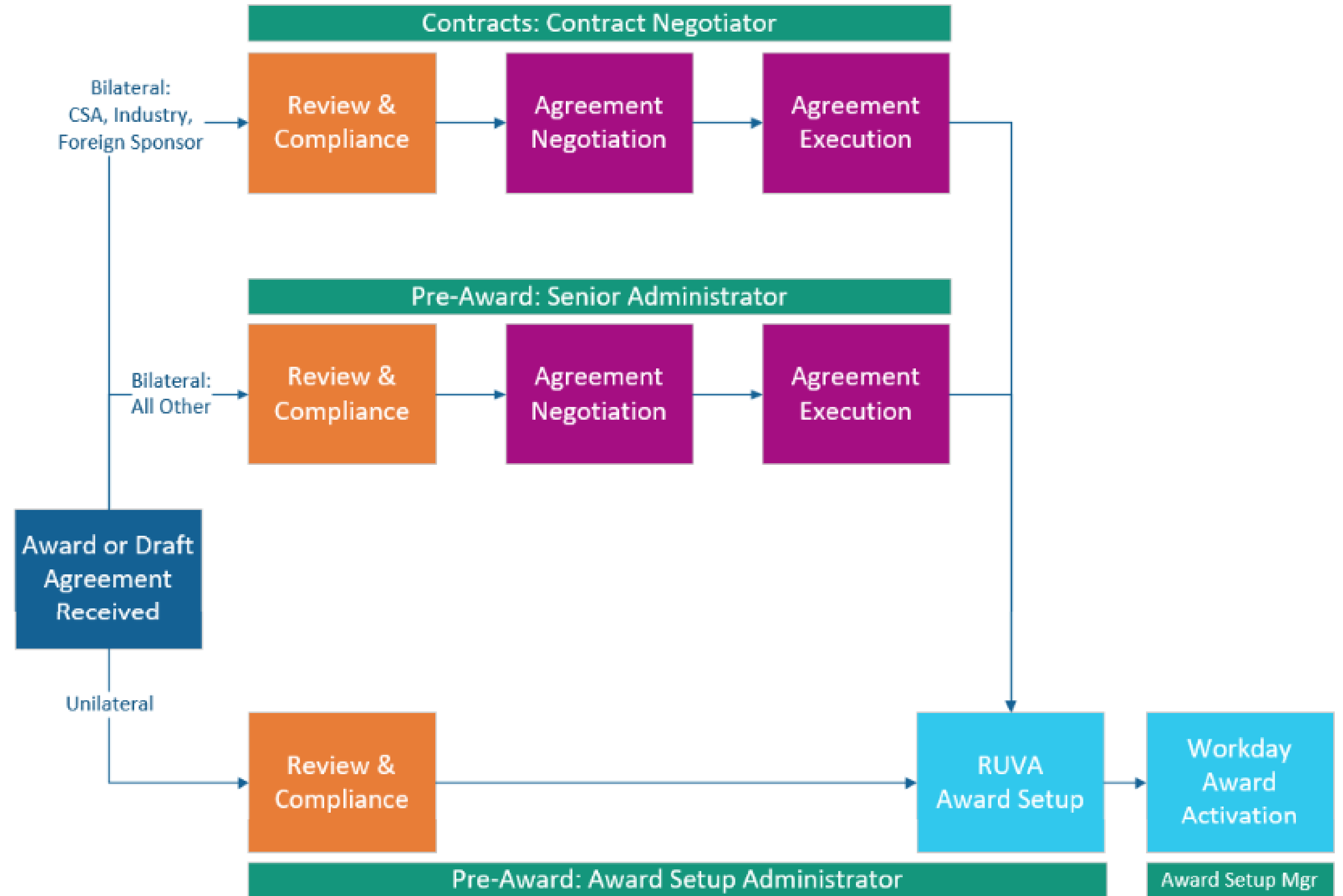
PROPOSAL

After proposal submission, the sponsor may request additional documentation in anticipation of funding.

- **Post-proposal materials** are provided via email or *RUVA Send Grants Status Update*.
OSP will review and submit post-proposal materials to the sponsor.
 - The department should ensure all post-proposal documents, especially updated budget materials, are uploaded to the RUVA proposal record.
 - **More Information:** See OSP's proposal FAQ [here](#).
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AWARD

Sponsored awards may take one of several tracks – depending on the award type, sponsor classification, and agreement requirements.



AWARD: AGREEMENT NEGOTIATION

Team	Agreement Type
Contracts: Contract Negotiator	<ul style="list-style-type: none">• Master Agreements• Task Orders• Industry Sponsored Research• Industry Sponsored Clinical Trials• Foreign Entity Agreements• Federal Contracts or OTAs• Service Agreements• Capstone Agreements
Pre-Award: Senior Administrator	<ul style="list-style-type: none">• Grants (including flow-through)• Cooperative Agreements (including flow-through)• Domestic Foundations• State or Local Government Agreements• IPA

AWARD: AGREEMENT NEGOTIATION

- **Point of Contact:** OSP is the only office with delegated signature authority for sponsored research awards. Submit Notice of Award or Agreement materials to OSPNOA@virginia.edu.
 - **Reminder:** UVA faculty and staff are not authorized to sign on behalf of the University. Only delegated officials with a signatory letter are authorized to sign on behalf of the University.
 - **More Information:** See OSP's [webpage](#) on contractual issues that may arise during negotiation.
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AWARD: COMPLIANCE

OSP requires the following compliance documentation prior to agreement execution and award setup.

- **Compliance** includes:

- Investigator conflict of interest (COI) disclosure, review, and, if applicable, mitigation
- Investigator trainings: including COI, Undue Foreign Influence and Responsible Conduct of Research
- Review and approval of human subject research, animal use, export controls, research security

– **More Information:** Visit the OVPR Compliance & Trainings [page](#).

AWARD: COMPLIANCE

Policies of Note:

- [FIN-009](#): Facilities & Administrative Rate Application and Exception
 - [FIN-028](#): Minimum Effort on Sponsored Programs
 - [FIN-051](#): Proposing and Managing Cost Sharing on Sponsored Programs
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AWARD: SETUP

Award Setup is the process of translating your notice of award or agreement into a financial account in both RUVA and Workday Financials.

- This process creates your grant worktag, which is needed to generate expenditures on your sponsored award.
 - **Point of Contact:**
 - Pre-Award Setup Administrator
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AWARD: SETUP

The Award Setup team reviews the award documents to identify:

- **Award Demographics:** Long title, personnel, award type (grant, cooperative agreement, contract), sponsor(s), purpose code (i.e.: basic research, applied research, fellowship), start and end dates
 - **Financial Data:** Cost reimbursable or fixed amount invoicing, revenue category (i.e.: federal, state, local funding), spend restrictions, source and purpose of the funds (Fund and Function codes)
 - **Budget Detail:** Indirect cost base and rate, authorized funding by budget category
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AWARD: SETUP

New award setup is integrated with Workday Financials:



AWARD: SETUP

The Award Setup time has decreased since integration:

- **Average setup time:** Decreased from 14 calendar days in July to 6 calendar days in October
 - **Median setup time:** Decreased from 10 calendar days in July to 5 calendar days in October
 - 96% of awards are setup within two weeks
 - **Roughly 30% of awards do not have all the information needed to move forward**
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AWARD: SETUP

An **Advance Account** authorizes up to **six months** of spending in anticipation of receiving an award or fully executed agreement. The department/unit bears the risk of all costs.

- **Point of Contact:** Pre-Award Senior Administrator
 - Compliance is checked for Advance Accounts just as for new award setup.
 - OSP will need a non-sponsored account that will be the assurance in case the award is not funded.
 - **More Information:** [Request to Establish or Extend Awards Prior to Receipt of Funding](#)
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MANAGEMENT: OUTGOING SUBAWARDS

Outgoing Subaward PROCESSING TIMES		
	CY 2024 (> 11/15)	CY 2023
New Subawards	57 Days	82 Days
Amendments	26 Days	48 Days

MANAGEMENT: OUTGOING SUBAWARDS

- **Point of Contact:** Simon Butcher, Outgoing Subawards Manager, leads a team of 5 Pre-Award members
 - **Timing:** Once a new award is set up the department/unit must submit a subaward request. OSP cannot route a subaward agreement to the subrecipient for signature prior to the receipt of all required documentation and ancillary reviewer approval.
 - **Ancillary Review Approval:** Do not submit your subaward until you have PI and school/unit approval. OSP will send back the record if approvals are not included on the RUVA agreement record.
 - **Required Documentation:** Any outgoing Subaward request must include a final version of the Subrecipient's documents (if applicable): 1) Final Statement of Work, 2) Final Budget/ Budget Justification, 3) Subrecipient IRB/ IACUC Protocols, 4) Subrecipient Indirect Cost Rate, and 5) Consortium Commitment Form.
 - See OSP [website](#) for further details.
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MANAGEMENT: ADMINISTRATIVE ACTIONS

UVA's Delegated Proposal Submission Authority to School of Medicine, Engineering and Education includes the following administrative actions:

- NIH Fellowship Activation notices
 - NIH Fellowship Termination notices
 - No-cost extension requests
 - Budget reallocation requests
 - Equipment requests (outside of those requiring construction or renovation)
 - Progress and Invention reports
 - Other program change requests that require sponsor approval
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MANAGEMENT: ADMINISTRATIVE ACTIONS

- Award Modification Requests (AMRs) are the primary mechanism for routing award changes to OSP.
 - The Pre-Award team manages agreement amendments, non-financial modifications to the award, incremental funding, and other award changes.
 - Updates to awards are made in both RUVA and Workday Financials.
 - **More Information:** [Preparation of Grant and Contract Changes](#)
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CLOSEOUT

Pre-Award coordinates non-financial reporting, such as equipment and invention reports.

- **Managing Non-Financial Reports:** The RUVA Award Deliverables feature allows the research community to track award deliverables and receive email reminders to ensure completion. See OSP [Job Aid](#).
 - **Delinquent reporting:** Late reports from a single Investigator can have serious ramifications on UVA's ability to submit proposals and receive awards from federal and non-federal sponsors.
 - **Transfers:** start as early as possible and engage with your department and the sponsor
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QUESTIONS?

Pre-Award 2024
