Patti Manheim, Director
February 09, 2012

STEAMLINING PROPOSAL AND AWARD PROCESSES

• PHASE I - Award Set-Up Pilot Initiated:
  ▪ OCGA launched a joint initiative focused on improving processing timelines for unilateral awards.
  ▪ Due to the nature of these awards, it is possible to expedite them through the process, allowing researchers access to their funds sooner.
  ▪ Awards Processed to Date: 458 awards
  ▪ Average Turnaround Time: 3.6 Days

• Benefits:
  ▪ Quicker Access to Funds
  ▪ Timely and Consistent Communication at Key Process Points:
    • Award Received
    • Award Set Up Complete
  ▪ Key Data to Understand:
    • Where an Award is in the Process
    • What is Holding Up Activation
  ▪ Reduction of retroactive transactions due to late account set-up

STEAMLINING PROPOSAL AND AWARD PROCESSES

Award Set Up Time Has Improved by 80%

![Diagram showing improvement in award set up time]
STEAMLINING PROPOSAL AND AWARD PROCESSES

PHASE II – Proposal Intake and Processing

• 60% of the proposals received by OCGA are considered “incomplete”

• Incomplete proposals risk the following:
  ▪ Insufficient time for a full OCGA review
  ▪ Full compliance with sponsor regulations is not ensured
  ▪ Insufficient time to correct errors/validations that arise from sponsor systems

OCGA will pilot the following Proposal Intake Process with select departments:

• OCGA will conduct an initial review to confirm at least minimum documents are included
  ▪ Do not meet minimum requirements: the proposal will not be accepted and missing documents will be identified
  ▪ Does meet minimum requirements: the compliant proposal package will be assigned to OCGA staff for review

• Standard Communication at Key Process Points
  ▪ ALL documents MUST be received before submission

STEAMLINING PROPOSAL AND AWARD PROCESSES

• Minimum Submission Requirements:
  ▪ Completed Goldenrod (ePASS) with PI signature
  ▪ All sponsor forms requiring OCGA signature
  ▪ Final budget in sponsor-required format
  ▪ Final budget justification
  ▪ Statement of work or project summary (abstract)
  ▪ Sponsor Guidelines (hard copy or URL)
  ▪ Outgoing subaward docs (SOW, final budget, final budget justification, signed Subrecipient Commitment form)

STEAMLINING PROPOSAL AND AWARD PROCESSES

Proposal Intake Pilot - Next Steps:

• Identify pilot departments
• Meeting with department to discuss process and answer questions
• Confirm departments understanding and agreement
• Record intake and processing timelines
• Phase in all departments
Complete proposal packages are due into OCGA 5 Business Days prior to Sponsor Deadline

- 70% of our monthly proposal volume is received within 2-3 days of the sponsor deadline

Proposal Submission Requirements:

- If the proposal package is not received within this timeframe, we risk the following:
  - Sponsor rejection of incomplete proposals
  - Sponsor rejection of incomplete proposals
  - Invalidation and system errors
  - Underfunding due to budget errors
  - Compliance issues that would cause UCLA to reject the award
  - Delays in processing awards

NIH Warns Potential Dangers when submitting an application near the deadline.

- Single grant analyst received 25 graduate student grant applications received
  - No time to review anything – even budgets
  - F&A not properly requested

- Non scientific received early and reviewed; research plan uploaded five minutes prior to deadline
  - No time to open and review attachment
  - After submission and deadline, PI noticed a font color had been changed
  - No chance to submit a change
DANGER IN LATE PROPOSAL SUBMISSION

HELP US HELP YOU:
• Complete proposal packages are due into OCGA 5 Business Days prior to the sponsor deadline date
• At any other time prior to the 5 day deadline, you can submit a proposal package that includes the minimum required documents

Advantages:
• Sufficient time for review and correction of system errors
• Project costs are correctly calculated
• Expedited award processing
• General happiness

NIH SALARY CAP

• Effective 12/23/2011 Decreased Salary Cap - Executive Level II - $179,700
• Link to Notice: http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-12-035.html
• All applications to all DHHS Operating Divisions— not just NIH, AHRQ and SAMSHA - should not exceed this salary cap
• What does this mean for our current awards?

<table>
<thead>
<tr>
<th>Type of FY 2012 Award Received</th>
<th>Executive Level I</th>
<th>Executive Level II</th>
<th>what happens to my categorical budget?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Competitive (New and Renewal)</td>
<td>$199,700</td>
<td>$199,700</td>
<td>FY2012 award will not be decreased to adjust for the decrease in the salary limitation. Future years will not be adjusted.</td>
</tr>
<tr>
<td>Non-Competitive (New and Renewal)</td>
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<td>$199,700</td>
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</tr>
<tr>
<td>Competitive (New and Renewal)</td>
<td>$179,700</td>
<td>$179,700</td>
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</tr>
<tr>
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<td>$179,700</td>
<td>$179,700</td>
<td>FY2012 award will be decreased to adjust for the decrease in the salary limitation. Future years will also be adjusted down.</td>
</tr>
<tr>
<td>FY2011 and prior awards</td>
<td>$179,700</td>
<td>$179,700</td>
<td>The carry forward of funds budgeted for personnel from Fiscal Year 2011 and prior may not be subject to the level those awards were made.</td>
</tr>
</tbody>
</table>