



## Pre Award Best Practices

### **FUNDING ANNOUNCEMENT** -- Read and Follow Funding Announcement

#### **BUDGET:**

- Personnel Section Includes UM Employees Only
- Utilize the Correct Fringe Benefit Rates  
([http://www.miami.edu/finance/index.php/ora\\_homepage/um\\_rates\\_information/](http://www.miami.edu/finance/index.php/ora_homepage/um_rates_information/))
- Non-UM Employees will be listed as “to be determined,” consultants, services by outsiders or subcontractors based upon their scope of work
- Follow OMB Circular A-133 B.210(b-c) to determine if an individual/entity qualifies as a VENDOR or a SUBRECIPIENT
- Subrecipient budgets should include THEIR F&A Rate associated with their direct costs
  - If Subrecipient doesn’t have a federally negotiated rate, 10% MTDC should be used
- If a Subrecipient is \$150,000 or less and PI/department would like to pay the entity via a fixed price agreement, the proposal must clearly disclose this intent
- Include ALLOWABLE Direct Costs pursuant to the sponsor, funding announcement and the Uniform Guidance
- Administrative salaries are only included within a budget when they are integral (essential, vital and fundamental to the project activity). Significant level of effort is reflective of an individual who is integral to the project. Justification must demonstrate “integral.”
- Desktops, laptops, iPads, tablets can be included provided they are ESSENTIAL and ALLOCABLE, but not solely dedicated, to the performance of a federal award. If not solely dedicated, the cost must be reasonably allocated. If desktop, laptops, iPads, tablets are solely dedicated, justification must also address how/why it is solely dedicated
- Increase ALL Direct Costs (salaries, fringe, supplies, travel, etc.) by 3% escalation factor each year
- Utilize the Correct Facilities & Administrative Cost Rate  
([http://www.miami.edu/finance/index.php/ora\\_homepage/um\\_rates\\_information/](http://www.miami.edu/finance/index.php/ora_homepage/um_rates_information/))
  - Identify whether the scope is RESEARCH, INSTRUCTION or OTHER ACTIVITY
  - Identify whether federal rates apply
  - Only use a lesser rate if MANDATED by the sponsor
  - 29% Total Direct Cost ONLY APPLIES to Industry Clinical Trials
- Do not cost share/match unless REQUIRED
- Do not waive F&A unless REQUIRED

### **PROPOSAL CONTRACT ROUTING FORM (PCRF-L VERSUS PCRF-S)** (Refer to the Decision Matrix

<http://www.ora.miami.edu/assets/pdf/ora-forms/decision-matrix.pdf>)



- PCRF-L is required for financial transactions involving money (new, supplemental, competing renewal and non-competing renewal) – no matter how little the amount
  - Read the Instructions Page to ensure you select the correct:
    - Project Types
    - Proposal/Contract/Amendment Types
    - Record the correct Sponsor information
    - Budget Information, Including Faculty & Study Personnel Effort – please make certain to estimate average administrative time, per visit, that study personnel will spend per patient.
- PCRF-S is required for non-financial transactions and funding DECREASES – amendments changing non-financial terms, including amendments which decrease funding

**FOUNDATION RELATIONS** - Foundation Relations’ approval is needed for foundation-related proposals. PI/Department obtain these approvals. PI/Department need to anticipate the time to obtain these approvals prior to submitting to ORA.

**HIGHER INSTITUTIONAL APPROVAL** - UM higher institutional approval is required based upon the Signature Routing Process for Pre Award diagram

(<http://www.ora.miami.edu/assets/pdf/Documents/umsignatureapprovalroutingworkflow.pdf>) ORA obtains these approvals once the proposal packet is routed to us. PI/Department need to anticipate the time to obtain these approvals; therefore, these proposals should be submitted well in advance of the sponsor deadline.

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### ORA PRE AWARD CHANGES ON THE HORIZON

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UM will be shifting towards the use of InfoEd Proposal Development for all proposals/contracts to enable automation, streamlining and transparency. This will be rolled out over time, so anticipate notifications forthcoming. In preparation:

- All NIH applications with a due date of July 1<sup>st</sup> or later, which could be submitted via grants.gov, must be built and submitted via InfoEd Proposal Development
- All federal applications which could be submitted via grants.gov will be built and submitted via InfoEd Proposal Development

Proposals should be routed to ORA in complete and final form FIVE BUSINESS DAYS prior to the sponsor deadline.

Alternatively, the application in complete and final form (MINUS the Research Plan) can be routed to ORA TEN BUSINESS DAYS prior to the sponsor deadline and the Research Plan is due THREE BUSINESS DAYS prior to the sponsor deadline.