Session 2: UCSD Pre-Award Process

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Agenda

Overview: UCSD Proposal Submission Process

Basic Sponsored Project Related Terms

Internal Forms, Policies & Procedures

Resources

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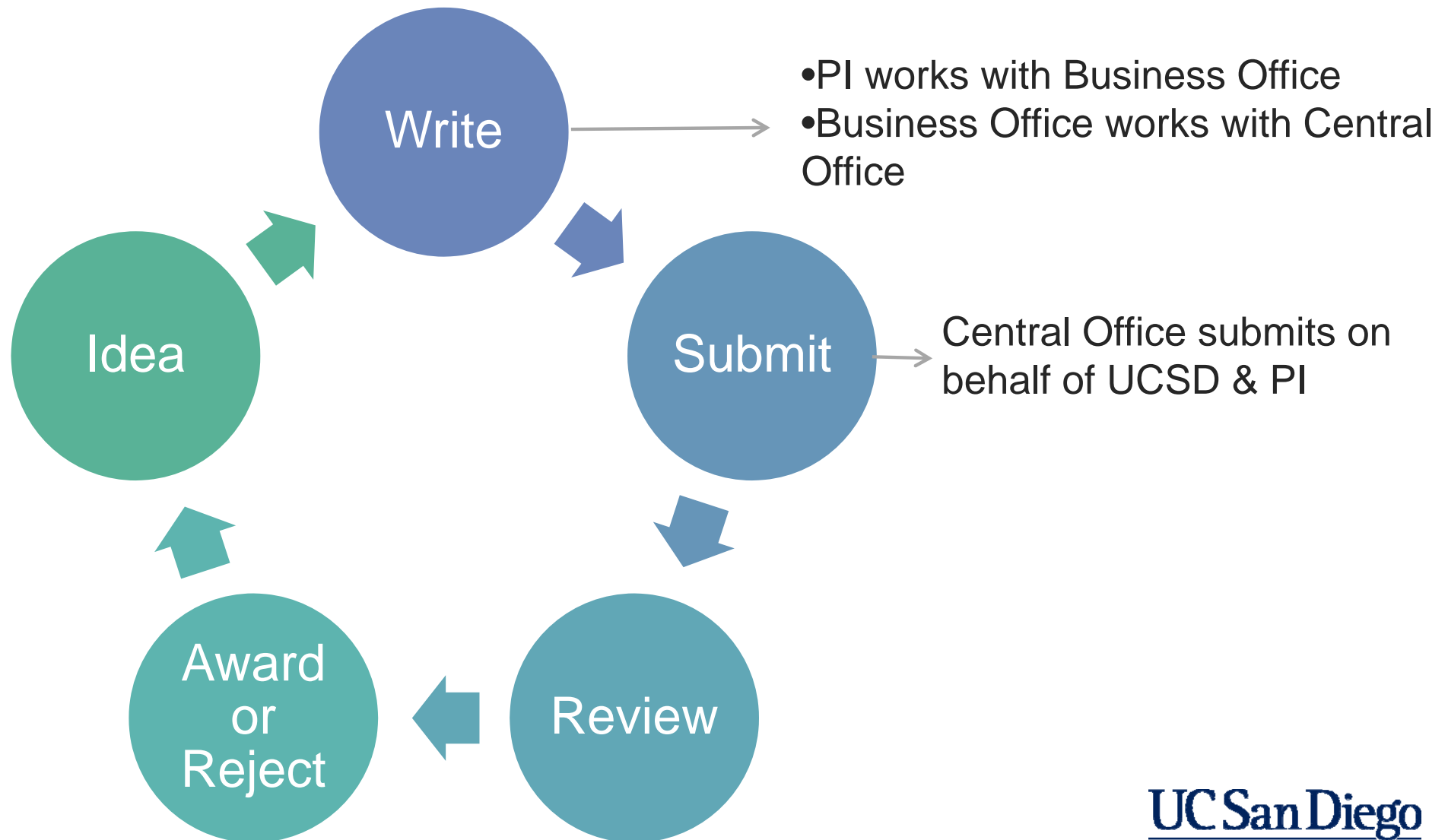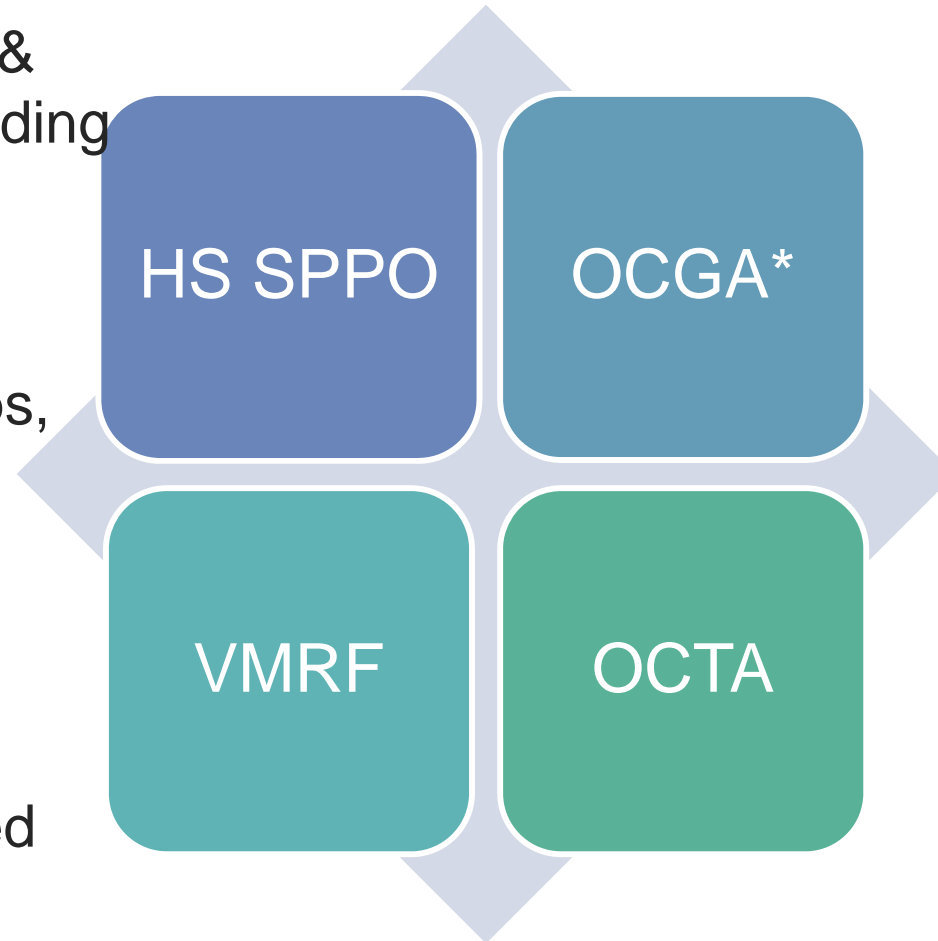
Proposal Process & UCSD

Central Offices

• Pre-Award for NIH & AHRQ Grants (including Subs)
• Limited review of OCGA proposals
• Faculty scholarships, Fellowships & LRP applications

• Preponderance of activity will be carried out in VAMC space.

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OCGA*

VMRF

OCTA

• All other agency proposals
• All contracts
• Accepts awards
• Requests Fund # set-up
• Post-award communication

• Industry-initiated clinical trials

*SIO OCGA- All SIO Proposals and Awards

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Proposal Review Responsibilities

Type of Proposal	Proposal Review By
Contract or Grant	OCGA
NIH Grant (and NIH grant flow-through)	HS SPPO
AHRQ Grant (and AHRQ grant flow-through)	HS SPPO
Clinical Trial - Investigator Initiated	OCGA
Clinical Trial - Industry Initiated	OCTA
Material Transfer Agreement	OCGA
Postdoctoral Fellowship	HS SPPO
Faculty Fellowship	HS SPPO
VA based Research	VMRF

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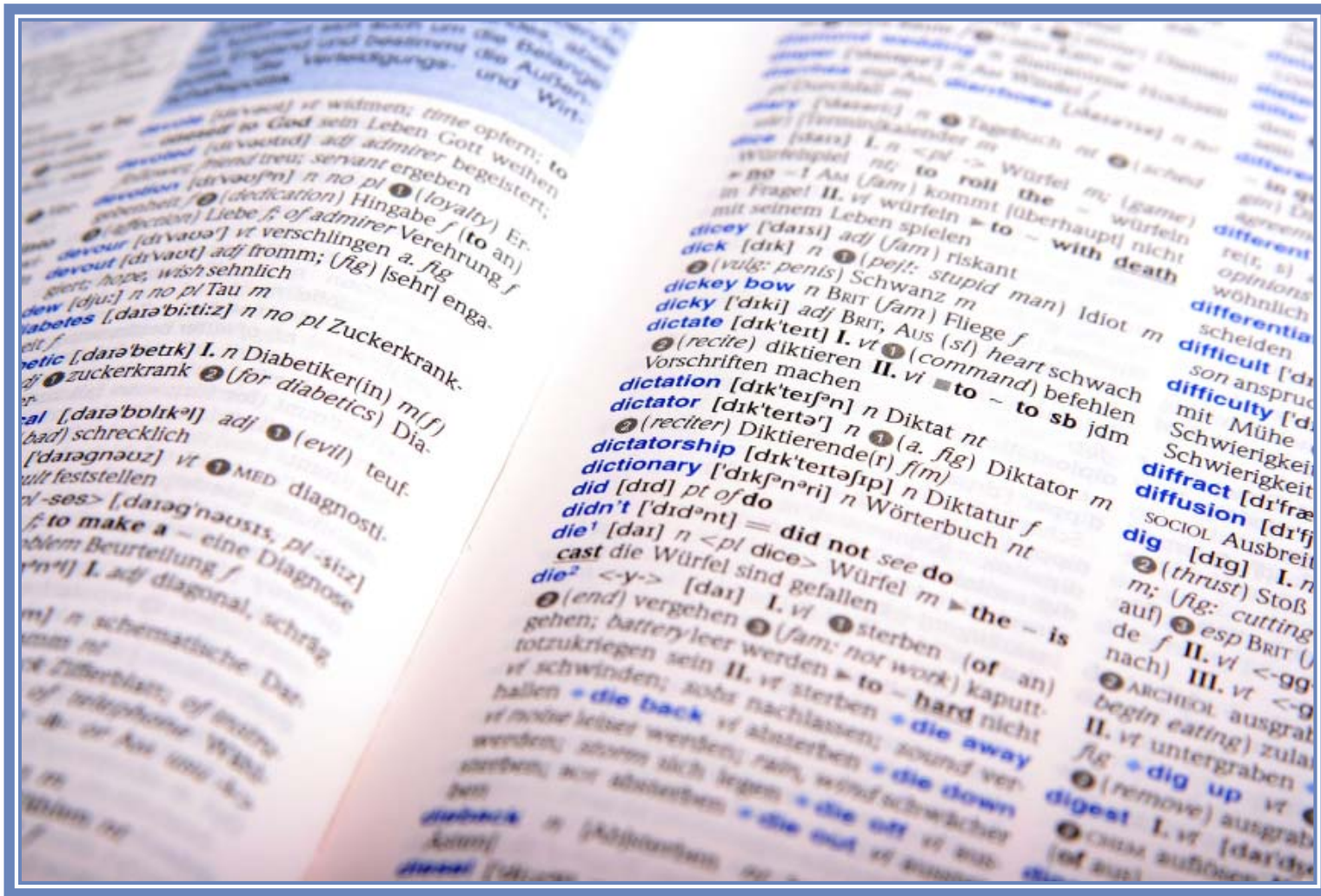
Sponsored Projects Related Terms

Types of Assistance

Grant	≠	Contract
Investigator Initiated	⟷	Government Acquisition
Government is a Patron or Partner	⟷	Government is Purchaser
Purpose is to Stimulate or Support Research	⟷	Purpose is to Acquire Goods or Services
Benefits a Public Purpose	⟷	The Direct Benefit and Use for the Government

Types of Assistance

Cooperative Agreement

- support or stimulate research, but the parties anticipate substantive agency involvement in the project

Fellowship

- funds for a pre doc or post doc – provide varying levels of support and may have to commit effort

Gift

- conveyance or transfer of an asset, including cash or negotiable instruments, such as stock or real estate, made with charitable intent and without consideration

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Person Months

Calendar Months

- A person with a 12-month appointment lists their effort in federal grants (such as NIH), in calendar months.

Academic Months

- A person with a 9-month appointment lists their effort in federal grants (such as NIH), in academic months.

Summer Months

- A person who has an academic month appointment, would then also have a summer month appointment if they worked on a grant during the summer.

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Budget Terms

Direct Costs
- Can be identified specifically with a particular sponsored project

Indirect Costs
- Are not identifiable to any one project

MTDC
- Modified Total Direct Costs

MTDC Exclusions
- Excluded from IDC base

Internal Policies, Procedures & Forms

- How to obtain a UCSD proposal number
- Internal Forms Walk-Through
- Use of EPRS
- Submission Timelines

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How to Obtain a UCSD Proposal Number

Required Information

Proposal Type	Anticipated Type of Award
Sponsor (Prime Sponsor)	Lead UCSD Dept
Dept Contact	Sponsor Deadline
Copy and Mail index	Assigned Office

④ Confirm entered information.
Press submit to generate UCSD proposal number

ⓘ **Principal Investigator:** OBANDO, YVETTE NEREIDA

ⓘ **PI Exception Required:** N

ⓘ **Proposal Type:** ✱ !New

ⓘ **Anticipated Type of Award:** ✱ Grant

ⓘ **UCSD Proposal Number created: 20140068**

ⓘ **UCSD Proposal No:** 20140068   **Update User:** msdao

Update Time: 08/21/2013 3:55 PM

ⓘ **Principal Investigator:** OBANDO, YVETTE NEREIDA

Central Office Review Assignments

OCGA

Reviewers assigned by agency and type of proposal

blink.ucsd.edu/ocga/staff-assignments.html

HS SPPO

Reviewers assigned by Lead Department/Unit

som.ucsd.edu/hssppo/review-assignments.html

Internal Forms

PI Exception Form (if applicable)

Conflict of Interest Disclosure Form

PI Assurance Form

Detailed Internal Budget

RES Form

Internal Forms

UC/VA Worksheet (if applicable)

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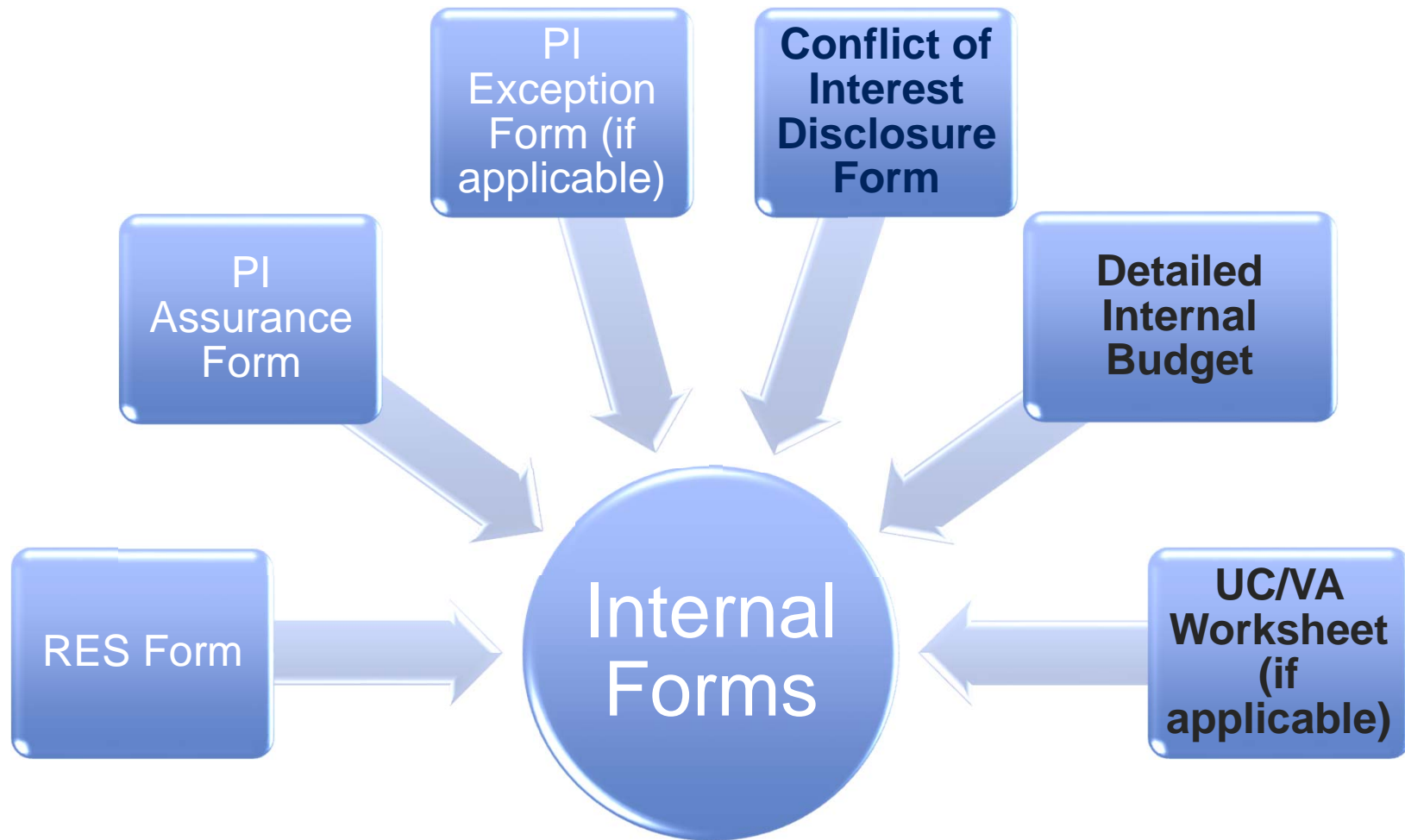
Request for Extramural Support (RES)

Form Instructions   **Print Form**

RES FORM
Request for Extramural Support - UCSD

UCSD # _____

Lead Department/ORU		Fax #	Project Organization #	
Lead Department/ORU Contact		Phone #	Copying Index #	
Email		Mail Code	Mailing Index #	

	Principal Investigator:	Co-Principal Investigator:
Last Name		
First Name		
Title		
Department/ORU		
Mail Code		
Phone #		
Email		

Will a PI Exception be Required? (Reference PPM 150-10)	☐ Yes ☐ No	☐ Yes ☐ No

Type of Award:	Type of Proposal:	Type of Project/Activity:
☐ Grant	☐ New ☐ Revision	☐ Basic Research ☐ Public Service
☐ Contract	☐ Continuation ☐ Resubmission	☐ Applied Research ☐ Other Service
☐ Cooperative Agreement	☐ Renewal ☐ Minority Supplement	☐ Developmental Research ☐ Equipment
☐ Subaward Contract	☐ Supplement	☐ Other Research ☐ Marine Facilities/Other
☐ Subaward Grant		☐ Training

Proposal Title: _____

Proposal Information:	Agency Information:
Award # (if applicable)	**Agency Due Date (mm/dd/yy):**
Duplicate Proposal #'s (if applicable)	Agency Name
PA/RFA/RFP/etc # (if applicable)	Agency Contact _____ E-mail
Project Begin Date (mm/dd/yy)	Phone # _____ Fax #
Project End Date (mm/dd/yy)	**Mailing Address:**
Direct Costs	Street
Indirect Costs	City _____ State _____ Zip Code
IDC Rate(s) _____ %	**# of Copies Requested by the Agency:** _____
	Will this proposal result in UCSD receiving a Subaward? ☐ Yes ☐ No
Total Costs Requested: $0	If Yes, list the "Prime" funding agency name _____

	Yes	No				
A.			Will on-campus space be used? If Yes, list building(s) _____		Room/Lab/Office #(s) _____	
B.			Will off-campus space be used? If Yes, list building(s) _____		Will rent be included in this proposal?	☐ Yes ☐ No
C.			Will VA space be used? If Yes, list building(s) _____	Room#(s) _____	Will more than 50% of the project be in VA space?	☐ Yes ☐ No
D.			Will animal subjects be used? If Yes, list date(s) approved _____	Protocol #(s) _____	Species _____	☐ Pending
E.			Will human subjects be used? If Yes, list date(s) approved _____	Protocol #(s) _____		☐ Pending

F. ☐ ☐ Will human embryonic cells (any type) be used, or will other cell types or procedures be used that require ESCRO review? See Instructions.

If Yes, list date(s) approved by ESCRO _____ ESCRO protocol #(s) _____ ☐ Pending

G. ☐ ☐ Will Conflict of Interest forms 9510 or 700-U be required? If Yes, include signed form(s).

H. ☐ ☐ Will UCSD equipment cost sharing be included? If Yes, include Equipment Matching form, or letter with approval signature(s).

I. ☐ ☐ Will UCSD expenditure cost sharing be included? For example; salaries, benefits, supplies, fellowships, and applicable indirect costs.

If Yes, list total $ _____ Fund #(s) of source _____ If other than departmental funds, attach detail with approval signature(s).

J. ☐ ☐ Will non-UCSD cost sharing be included? If Yes, list entity _____ List total $ _____

K. ☐ ☐ Will any genetically-modified agents be involved? For example; recombinant DNA.

L. ☐ ☐ Will any biohazardous materials be involved? For example; material of human/primate origin or infectious agents.

M. ☐ ☐ **SIO Only** - Will scuba or surface-supplied diving be used for data collection? If ship time is required, list ship name _____

N. ☐ ☐ **SIO Only** - Will Graduate Student Researchers be supported? If Yes, how many? _____

O. ☐ ☐ **SIO Only** - Will additional space be used? If Yes, include RES Addendum form.

P. ☐ ☐ **SIO Only** Has the PI certified completion of lab safety training for all employees, students, volunteers, and visiting scientists working in the PI's laboratory(ies)?

pproval Signatures - Faxed signatures are acceptable

Sign Name	**Principal Investigator**	Print/Type Name	Date	Sign Name	**Co-Principal Investigator**	Print/Type Name	Date
Sign Name	**Department Chair/Director**	Print/Type Name	Date	Sign Name	**Department MSO/DBO**	Print/Type Name	Date
Sign Name	**Participating Department Chair/Director**	Print/Type Name	Date	Sign Name	**Participating Department MSO/DBO**	Print/Type Name	Date
Sign Name	**Space Approval**	Print/Type Name	Date	Sign Name	**VA Medical Center Research Administration**	Print/Type Name	Date

SIO OCGA USE ONLY

Sponsor Code _____ Analyst Initials _____ Reviewer _____ Date _____ Federal Tracking ID (SIO use only) _____

Office of Contract and Grant Administration 11/2012

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PI Assurance Form

PI ASSURANCE FORM

National Institutes of Health Assurance Statement for Principal Investigators

University of California, San Diego

UCSD #: _____

Agency Due Date (mm/dd/yy): _____   Grant Award # (if known): _____

Proposal Title:	

*Please Note: When multiple Principal Investigators are proposed in a National Institutes of Health application, this assurance must be signed by all named Principal Investigators.

Principal Investigator Assurance Statement:

I hereby certify: (1) that the information submitted within the application, and during the award period, which includes Continuation and Supplement proposals, and Prior Approval Requests, is true, complete, and accurate to the best of my knowledge; (2) that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties; and (3) that I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this application.

_____   _____   _____
Principal Investigator Signature   Print or Type Principal Investigator Name   Date

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*List Additional Principal Investigators Below:

PI Exception Form (when applicable)

PI EXCEPTION FORM

Request for Exception to Submit Proposal for Extramural Support
University of California, San Diego

UCSD#

PI Last Name		PI First Name	

☐ Sole PI	☐ CO-PI with	☐ Student	☐ Staff

Current Payroll Title		% Time of Appt	%	Appmt Begin Date		Appmt End Date	
Proposed Payroll Title (if applicable)		% Time of Appt	%	Appmt Begin Date		Appmt End Date	
% Salary on Proposal	%	% Effort on Proposal	%	Period to be paid on Proposal:	Begin Date		End Date

Proposal Title	
Agency Name (if NIH, include institute)	
Agency Due Date		Project Begin Date	
Total Costs Requested		Project End Date	

Department/ORU		Department/ORU Contact	
Contact Phone #		Contact Email	

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PI Exceptions

There are 4 titles for which Exceptions are required at Time of Award:

Adjunct Professor w/o salary,

Clinical Professor w/o salary or less than 50% salary,

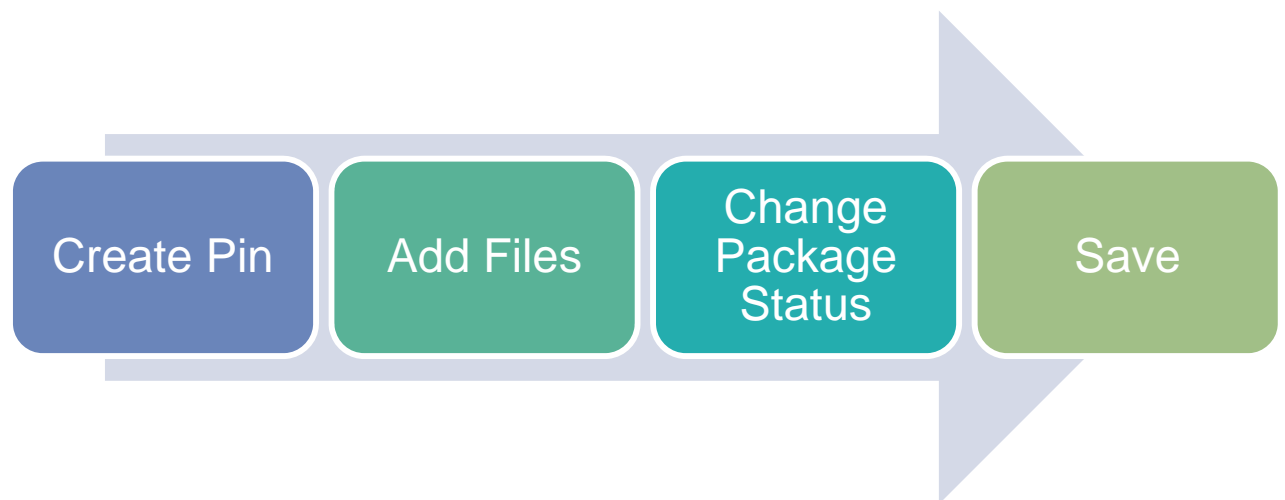**New Appointments,**

and Assistant Project Scientists.

Additionally, **BLANKET PI Exceptions** will be approved for Assistant Project Scientists for a duration of one fiscal year (July 1st to June 30th).
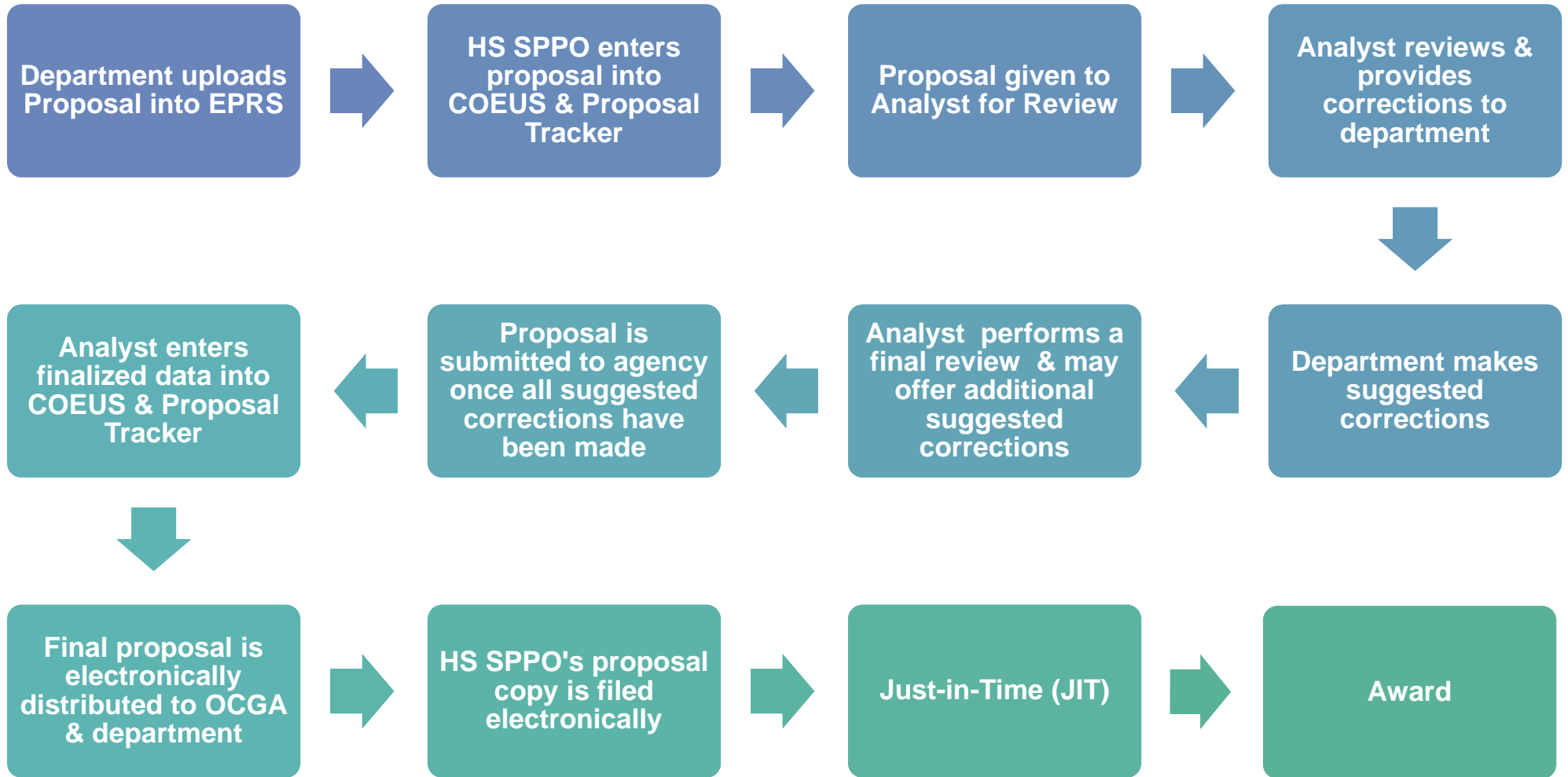
Submitting Proposals to HS SPPO- Using EPRS

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Faculty/Staff

Department Index Find People - Advanced Search

Action Tools ▼ **Research Tools** ▼

- FinancialLink
- Get Proposal #
- MyEffort
- MyFunds
- My Research Safety
- MyTravel
- Proposal Repository
- Shared Facilities
- All tools

Active reset instructions

Enter PI or UCSD number for checkin/checkout ele

ⓘ **Principal Investigator:** [   ] Find Clear

Full name(Last, First) Didn't find your PI?

ⓘ **UCSD Proposal Number:** [   ]

Get a UCSD Proposal Number

ⓘ **Submitting Office:** [All Offices ▼]

Submit

Create Pin → Add Files → Change Package Status → Save

Internal Forms and Draft Application Package must be uploaded for Initial Review

Department uploads Proposal into EPRS → **HS SPPO enters proposal into COEUS & Proposal Tracker** → **Proposal given to Analyst for Review** → **Analyst reviews & provides corrections to department**

Analyst enters finalized data into COEUS & Proposal Tracker ← **Proposal is submitted to agency once all suggested corrections have been made** ← **Analyst performs a final review & may offer additional suggested corrections** ← **Department makes suggested corrections**

Final proposal is electronically distributed to OCGA & department → **HS SPPO's proposal copy is filed electronically** → **Just-in-Time (JIT)** → **Award**

HS SPPO's Proposal Lifecycle

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Submitting Proposals to OCGA

Complete and Final

- Signed RES Form
- Sponsor Funding Announcement
- Signed Conflict of Interest Form (if required by sponsor)
- Budget/ Budget Justification
- All other sponsor documentation
- Any other applicable internal documents

Draft

- Statement of work/Science portion

E-mail to:

- OCGA analyst- assigned based on agency
- CC proposals-ocga@ucsd.edu

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Submission Timelines

HS SPPO Submission Timeline for NIH's March Deadlines

Deadline	March 5, 2015	March 12, 2015	March 16, 2015
Required Action •10 business days •**Full Review**	February 19, 2015	February 26, 2015	March 2, 2015
	All internal documents and draft application package received at HS SPPO		
Required Action •4 business days •**Cursory Review**	February 27, 2015	March 6, 2015	March 10, 2015
	Final proposal ready for submission, except science due <u>no later than 8:00 AM</u>		
Required Action •2 business days •**As-Is (no review)**	March 3, 2015	March 10, 2015	March 12, 2015
	Final proposal ready for submission, including science and all signatures due <u>no later than 8:00 AM</u>		

OCGA Submission Timelines

Proposal packages and documents should be sent to proposals-ocga.ucsd.edu (cc: OCGA Contract Officer) following these guidelines:

Proposal Components	Grant and subaward grant activity	Contract and subaward contract activity
Final proposal package, including draft of the sciences portion	8 a.m., four (4) working days prior to the sponsor's published deadline	8 a.m., five (5) working days prior to the sponsor's published deadline
Final text for the sciences portion	Noon the day before the sponsor's published deadline	Noon the day before the sponsor's published deadline

HS SPPO Resources

Website — Policies & procedures; calendar; funding opportunities, contact info & resources

http://som.ucsd.edu/hssppo

Wiki — New university & agency updates and/or changes

http://som.ucsd.edu/mwiki/index.php/HS SPPO:Main_Page

Listserv — HSCONTACTS-L: Public mailing list for all HS SPPO Contacts; used for policy & updates

https://mailman.ucsd.edu/mailman/listinfo/hscontacts-l

Proposal Tracker — Allows department to view status of proposals at HS SPPO

https://som.ucsd.edu/pTracker

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Best Practices & Tips for Success

Contact Us

Follow Guidelines

Ask Questions

Use and know your resources

Read

We are here to help you succeed!

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