Session 2: UCSD Pre-Award Process

Arpa Orojian, Grant Analyst- HS SPPO
Agenda

Overview: UCSD Proposal Submission Process

Basic Sponsored Project Related Terms

Internal Forms, Policies & Procedures

Resources
Proposal Process & UCSD

- **Write**
  - PI works with Business Office
  - Business Office works with Central Office

- **Submit**
  - Central Office submits on behalf of UCSD & PI

- **Idea**

- **Award or Reject**

- **Review**
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.

- 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
## Proposal Review Responsibilities

<table>
<thead>
<tr>
<th>Type of Proposal</th>
<th>Proposal Review By</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contract or Grant</td>
<td>OCGA</td>
</tr>
<tr>
<td>NIH Grant (and NIH grant flow-through)</td>
<td>HS SPPO</td>
</tr>
<tr>
<td>AHRQ Grant (and AHRQ grant flow-through)</td>
<td>HS SPPO</td>
</tr>
<tr>
<td>Clinical Trial - Investigator Initiated</td>
<td>OCGA</td>
</tr>
<tr>
<td>Clinical Trial - Industry Initiated</td>
<td>OCTA</td>
</tr>
<tr>
<td>Material Transfer Agreement</td>
<td>OCGA</td>
</tr>
<tr>
<td>Postdoctoral Fellowship</td>
<td>HS SPPO</td>
</tr>
<tr>
<td>Faculty Fellowship</td>
<td>HS SPPO</td>
</tr>
<tr>
<td>VA based Research</td>
<td>VMRF</td>
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</table>
Sponsored Projects Related Terms
## Types of Assistance

<table>
<thead>
<tr>
<th>Grant</th>
<th>Contract</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investigator Initiated</td>
<td>Government Acquisition</td>
</tr>
<tr>
<td>Government is a Patron or Partner</td>
<td>Government is Purchaser</td>
</tr>
<tr>
<td>Purpose is to Stimulate or Support Research</td>
<td>Purpose is to Acquire Goods or Services</td>
</tr>
<tr>
<td>Benefits a Public Purpose</td>
<td>The Direct Benefit and Use for the Government</td>
</tr>
</tbody>
</table>
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
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.
## Budget Terms

<table>
<thead>
<tr>
<th>Direct Costs</th>
<th>• Can be identified specifically with a particular sponsored project</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indirect Costs</td>
<td>• Are not identifiable to any one project</td>
</tr>
<tr>
<td>MTDC</td>
<td>• Modified Total Direct Costs</td>
</tr>
<tr>
<td>MTDC Exclusions</td>
<td>• Excluded from IDC base</td>
</tr>
</tbody>
</table>
Internal Policies, Procedures & Forms

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

1. Enter PI name for your new UCSD proposal number

   Principal Investigator: [Full name (Last, First)]

   Find | Clear

   Submit

   Didn't find your PI?
Required Information

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

- 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: medac
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/hsspoo/review-assignments.html
Internal Forms

- PI Exception Form (if applicable)
- Conflict of Interest Disclosure Form
- Detailed Internal Budget
- RES Form
- UC/VA Worksheet (if applicable)
Form Instructions

RES FORM
Request for Extramural Support - UCSD

UCSD #

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

Type of Award:  
Grant  
Contract  
Cooperative Agreement  
Subaward Contract  
Subaward Grant

Type of Proposal:  
New  
Continuation  
Renewal

Revise  
Resubmission  
Minority Supplement

Type of Project/Activity:  
Basic Research  
Applied Research  
Developmental Research

Public Service  
Other Service  
Equipment  
Other Research  
Training  
Marine Facilities/Other

Proposal Title:

Proposal Information:
Award # (if applicable)  
Duplicate Proposal #’s (if applicable)  
PA/RFA/RFP/etc # (if applicable)  
Project Begin Date (mm/dd/yy)  
Project End Date (mm/dd/yy)  
Direct Costs  
Indirect Costs  
IDC Rate(s) %  

Total Costs Requested:  
$0

Agency Due Date (mm/dd/yy):
Agency Name
Agency Contact  
E-mail
Phone #  
Fax #

Mailing Address:
Street
City  
State  
Zip Code

# of Copies Requested by the Agency:

Will this proposal result in UCSD receiving a Subaward?  
Yes  
No

If Yes, list the "Prime" funding agency name

Agency Information:
Yes  No
A.  □ Will on-campus space be used? If Yes, list building(s) ____________________________ Room/Lab/Office #(s) ____________________________ Will rent be included in this proposal? □ Yes □ No
B.  □ Will off-campus space be used? If Yes, list building(s) ____________________________ Room#(s) ____________________________ Will more than 50% of the project be in VA space? □ 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)?

Signature - Faxed signatures are acceptable

<table>
<thead>
<tr>
<th>Sign Name</th>
<th>Principal Investigator</th>
<th>Print/Type Name</th>
<th>Date</th>
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<tbody>
<tr>
<td>Sign Name</td>
<td>Department Chair/Director</td>
<td>Print/Type Name</td>
<td>Date</td>
</tr>
<tr>
<td>Sign Name</td>
<td>Participating Department Chair/Director</td>
<td>Print/Type Name</td>
<td>Date</td>
</tr>
<tr>
<td>Sign Name</td>
<td>Space Approval</td>
<td>Print/Type Name</td>
<td>Date</td>
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</table>

SIO OCGA USE ONLY

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

Office of Contract and Grant Administration 11/2012

UC San Diego Health Sciences
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

*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

<table>
<thead>
<tr>
<th>PI Last Name</th>
<th>PI First Name</th>
<th>UCSD#</th>
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<tr>
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<tr>
<th>Sole PI</th>
<th>CO-PI with</th>
<th>Student</th>
<th>Staff</th>
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<tr>
<th>Current Payroll Title</th>
<th>% Time of Appt</th>
<th>% Appmt Begin Date</th>
<th>% Appmt End Date</th>
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<th>Proposed Payroll Title (if applicable)</th>
<th>% Time of Appt</th>
<th>% Appmt Begin Date</th>
<th>% Appmt End Date</th>
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<tr>
<th>% Salary on Proposal</th>
<th>% Effort on Proposal</th>
<th>Period to be paid on Proposal:</th>
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<tbody>
<tr>
<td></td>
<td></td>
<td>Begin Date</td>
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<table>
<thead>
<tr>
<th>Proposal Title</th>
<th>Agency Name (if NIH, include institute)</th>
<th>Agency Due Date</th>
<th>Project Begin Date</th>
<th>Project End Date</th>
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<table>
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<tr>
<th>Total Costs Requested</th>
<th>Department/ORU Contact</th>
<th>Department/ORU Contact Contact Email</th>
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<tbody>
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<table>
<thead>
<tr>
<th>Contact Phone #</th>
<th>Contact Email</th>
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*UCSan Diego  
HEALTH SCIENCES*
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

Enter PI or UCSD number for checkin/checkout elements

- Principal Investigator: [input field]
- UCSD Proposal Number: [input field]
- Submitting Office: [dropdown]

Create Pin  Add Files  Change Package Status  Save

Internal Forms and Draft Application Package must be uploaded for Initial Review
HS SPPO’s Proposal Lifecycle

1. Department uploads Proposal into EPRS
2. HS SPPO enters proposal into COEUS & Proposal Tracker
3. Proposal given to Analyst for Review
4. Analyst reviews & provides corrections to department
5. Analyst enters finalized data into COEUS & Proposal Tracker
6. Proposal is submitted to agency once all suggested corrections have been made
7. Analyst performs a final review & may offer additional suggested corrections
8. Department makes suggested corrections
9. Final proposal is electronically distributed to OCGA & department
10. HS SPPO’s proposal copy is filed electronically
11. Just-in-Time (JIT)
12. Award
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
Submission Timelines
<table>
<thead>
<tr>
<th>Deadline</th>
<th>March 5, 2015</th>
<th>March 12, 2015</th>
<th>March 16, 2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>• 10 business days</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Full Review</td>
<td></td>
<td>All internal documents and draft application package received at HS SPPO</td>
<td></td>
</tr>
<tr>
<td>Required Action</td>
<td>February 27, 2015</td>
<td>March 6, 2015</td>
<td>March 10, 2015</td>
</tr>
<tr>
<td>• 4 business days</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Cursory Review</td>
<td></td>
<td>Final proposal ready for submission, except science due no later than 8:00 AM</td>
<td></td>
</tr>
<tr>
<td>• 2 business days</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• As-Is (no review)</td>
<td></td>
<td>Final proposal ready for submission, including science and all signatures due no later than 8:00 AM</td>
<td></td>
</tr>
</tbody>
</table>
Proposal packages and documents should be sent to proposals-oega.ucsd.edu (cc: **OEGA Contract Officer**) following these guidelines:

<table>
<thead>
<tr>
<th>Proposal Components</th>
<th>Grant and subaward grant activity</th>
<th>Contract and subaward contract activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Final proposal package, including draft of</td>
<td>8 a.m., four (4) working days prior to the sponsor’s published</td>
<td>8 a.m., five (5) working days prior to the sponsor’s published</td>
</tr>
<tr>
<td>the sciences portion</td>
<td>deadline</td>
<td>deadline</td>
</tr>
<tr>
<td>Final text for the sciences portion</td>
<td>Noon the day before the sponsor’s published deadline</td>
<td>Noon the day before the sponsor’s published deadline</td>
</tr>
</tbody>
</table>
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
Best Practices & Tips for Success

We are here to help you succeed!

- **Read**
- **Use and know your resources**
- **Ask Questions**
- **Follow Guidelines**
- **Contact Us**
QUESTIONS