Proposal Development and Submission for Sponsored Programs

January 2011
Learning Objectives

- Responsibilities of
  - Principal Investigator (PI)
  - Research Administrator
  - Sponsored Programs Office (SPO)
- Proposal preparation, review, submission:
  - Compliance Requirements
- Requirements for a Pre-Award Project
Definitions

• **Facilities and Administrative (F&A)** – Costs incurred for a common or joint objective which are not easily identified with a particular award.

• **Pre-Award** – A project established in the financial system prior to receiving a fully executed award document.

• **Principal Investigator (PI/Co-PI)** – Named by sponsor on award document with **overall responsibility** to manage the award.
Definitions

• **Proposal Signature Routing Sheet (PSRS)** – Internal document to collect required approvals for the proposal.

• **Research Administrator** – Individual assisting PI with the fiscal management of an award.

• **Sponsored Programs Office (SPO)** – Campus office to manage administrative duties and monitor compliance related to sponsored awards.
Award Cycle

PI
Develops Proposal

PI/SPO - Close Out

SPO - Review & Submit

PI - Manage Award

SPO /PI - Accept & Establish
PI Responsibility

• Involve others early in proposal process
• Development of proposal including:
  • Technical aspect – scope of work
  • Financial budget and justifications
  • Proper review and approvals - PSRS
    • Refer to SPO website for institutional information
• Proposal to SPO for review
• SPO reviews and submits– PI does not submit directly
PI Responsibility

• Ensure sponsor requirements and guidelines are met
  • Forms
  • Unique allowability restrictions
  • Submission deadline

• Compliance with University policies
  • Accounting Policy Manual (APM) – Section 60
  • Business Policy Manual (BPM)
PI Responsibility - Budget

• Allowable direct costs per A-21 and sponsor
  • Reasonable
  • Allocable
  • Consistent Treatment
  • Conform to limitations or exclusions of sponsor
• Justify any unlike circumstances
PI Responsibility - Budget

• Reasonableness of effort commitment
  • Evaluate with existing commitments
• Use of Subawards
  • Include in budget and scope of work
  • Properly identified
  • Subject to same compliance requirements
  • Obtain letter of commitment and budget
• Use appropriate F&A rate
  • Approval required for any waivers
PI Responsibility - Budget

• Cost sharing requirements:
  • Committed cost share must be approved
  • Must be an allowable direct cost
  • Evaluate for reasonableness
  • Ensure all cost sharing is clearly identified – direct or implied
  • If award received, all committed cost share must be met
PI Responsibility - Other

- Conflict of Interest disclosures
- Human Subjects – Institutional Review Board
- Institutional Animal Care and Use Committee
- Export control regulations
- Intellectual property potential
- Responsible conduct of research training
Research Administrator Responsibility

• Involve the Research Administrator early in process:
  • Assists with review of proposal for compliance
  • Reviews budget for allowable costs
    • Identifies need to justify unlike circumstances
  • Ensures PSRS is signed by appropriate individuals
  • Discuss necessity of Pre-Award Project
• Provides other information to SPO as needed
Award Cycle

1. PI Develops Proposal
2. SPO / PI - Accept & Establish
3. SPO - Review & Submit
4. PI - Manage Award
5. PI/SPO - Close Out
SPO Responsibility - Submission

• Before submission, reviews for:
  • Compliance with submission requirements
  • Appropriate approvals on the PSRS
  • Proposal budget calculations
  • Allowable costs and budget justification
  • Other University reviews and approvals
• Obtains institutional endorsement
• Formally submits proposal
Pre-Award Project - Establish

• PI evaluates need for a Pre-Award Project

• Criteria to establish:
  • Proposal must be submitted
  • PI, Department Head, and Dean guarantee costs
  • Justification to begin work before award receipt
  • Other approvals required (Human subject)
  • Compliance with sponsor requirements
Pre-Award Project – Monitor

• SPO monitors Pre-Award Projects:
  • Older than 90 days
    • Discuss status with PI
  • Older than 6 months
    • Determine appropriate action

• Upon award execution:
  • Changes status from Pre-Award to Awarded
  • Avoids unallowable and unnecessary cost transfers
Concluding Points

• In developing the proposal:
  • Involve Research Administrator and others early
  • Be aware of sponsor and/or University compliance requirements
  • Allow sufficient time for internal and SPO review
  • Consider need for a Pre-Award Project
Additional Information

• APM 60.35 – Establishing an Award
• BPM 210 – Sponsored Programs
• Roles and Responsibilities
• Reference Guide for Sponsored Programs
• Other related training available:
  • Financial Compliance Training Website