



Proposal Preparation and Submission

Module 1 Proposal Basics

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The process of putting together a proposal has become increasingly complicated due to the rapidly and ever-expanding sponsor rules and regulations and the “new frontier” of electronic proposal submission. This course seeks to make the process easier.

- Describes work
- Estimate of costs



Sponsored research is funded in response to a proposal. A proposal describes the work to be done and provides an estimate of the costs to perform the work.



Where to begin? Ask lots of questions. In the resources tab is a helpful checklist contributed by Ms. Raellen Man, Director of the Department of Medicine's Research Administration Office. You may wish to create a similar checklist for your department.

ASK...

“What is the purpose?”

☐ Research?

- Basic
- Applied
- Developmental

☐ Training/fellowships?

☐ Special Projects?

☐ Community Service?

1. Sponsors support different activities

2. Proposals different

3. F&A cost varies



As you can see, the University participates in various types of research and in other programs and activities. It is helpful to know the proposal purpose because, 1) different sponsors support different types of activities; 2) proposals are written differently, depending on the type of research; 3) the Facilities & Administrative Cost (F&A) rate will vary.

Let's do a quick review of the three types of research and the other activities UCLA participates in. Two back-to-back mini-modules will appear when you advance to the next slide. They, as all the mini-modules in this course, are not narrated.

Types of Research

Basic Research


Types of Research

Basic Research

Developmental Research

Applied Research

Basic Research



Basic Research is research directed toward an increase of knowledge in science. The primary aim of the investigator is a fuller knowledge or understanding of the subject under study rather than a clear or direct practical application. The end product is usually a report, although experimental hardware may be involved

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Example:

Exploring alternative means of administering medicine other than by oral consumption.
Discovering that medicine can be absorbed through the skin.

Developmental Research

Types of Research

| | |
|------------------------|--|
| Basic Research | <h3>Developmental Research</h3>  <p>Developmental research is concerned with the systematic use of scientific and technical knowledge in the design, development, testing or evaluation of potential new products or services.</p> <p>Example:</p> <p>Patches are developed and determinations made regarding types of medicines that can be absorbed via the skin, in what volume, etc.</p> |
| Developmental Research | |
| Applied Research | |

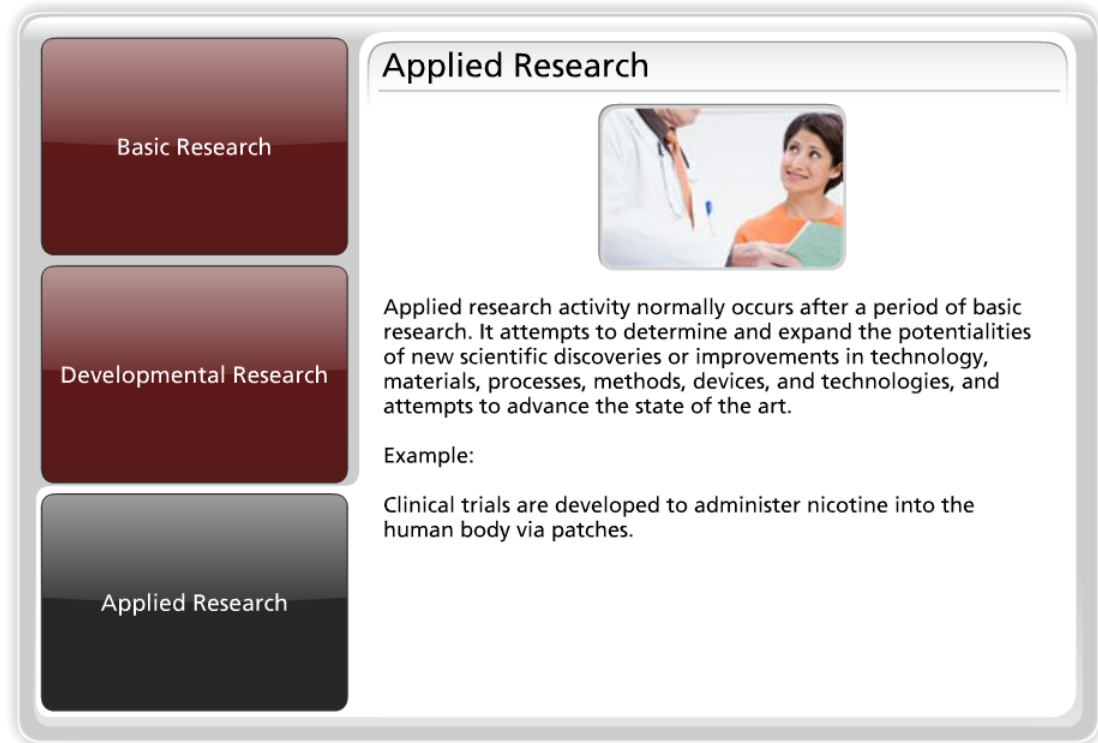
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Applied Research

Types of Research



Applied research activity normally occurs after a period of basic research. It attempts to determine and expand the potentialities of new scientific discoveries or improvements in technology, materials, processes, methods, devices, and technologies, and attempts to advance the state of the art.

Example:

Clinical trials are developed to administer nicotine into the human body via patches.

Other Participation

Training

Other Participation

Training

Public Service

Other Sponsored Activities

Training



Training is the instruction of University students and/or employees in research or in the techniques or practices pertinent to a particular academic discipline. Training support is generally awarded in the form of individual fellowships (with stipends) or as institutional grants to conduct an entire training program. For example, a fellowship might be given to a medical student to specialize in clinical research.

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Other Sponsored Activities


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Other Sponsored Activities are services/activities that the University provides or makes available which do not fit within the categories of research, training or public service.

Examples include:

- Conferences
- Support to organize conferences or symposia.
- Travel
- Support to faculty to attend national and international

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- Support to organize conferences or symposia.
- Travel
- Support to faculty to attend national and international professional meetings and conferences.
- Equipment acquisition
- Support to fully equip a newly built laboratory.



Each sponsor type is subject to different policies and regulations that impact the format and content of a proposal. The following “Sponsor Type” mini-module will provide a general understanding of what to watch for in proposals to these various sponsors.

Sponsor Types

Federal Sponsors

Sponsor Types


Federal Sponsors

Non-profit

State and Local Government

For Profit Sponsors

Federal Sponsors



All federal agencies must comply with the requirements of the U.S. Office of Management & Budget (OMB) in developing the grant/contract policies incorporated in the awards issued to institutions such as UCLA.

While each federal sponsor must adhere to OMB Circulars, OMB permits each sponsor to implement the requirements that best suit the sponsor's needs, which may result in differences from sponsor to sponsor. Also, a single sponsor may have multiple variations of a policy to cover specific grant programs. SO IT IS IMPORTANT TO READ the sponsor guidelines and policies for proposal budget and/or rebudgeting limitations and prepare your proposal accordingly

The OMB circular that most directly impacts GRANT proposal budget preparation is [OMB Circular A-21](#). "Cost Principles for

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What to be aware of when preparing a GRANT proposal to a federal sponsor.

- UCLA's [federally-negotiated F&A](#) is used unless a non-standard rate is explicitly stated in the program announcement or guidelines.

- Budget items must be reasonable, allowable, allocable and consistent.
- The Standard F&A rate is used (DHHS negotiated agreement 54.0% (on-campus rate effective July 1, 2007))
- Most proposals are submitted electronically via Grants.gov (UCLA utilizes the [S2S Grants System](#) to submit Grants.gov proposals)

What to be aware of when preparing a CONTRACT proposal to a federal sponsor:

- Legally binding contract clauses may be included in an RFP (Request for Proposal) and must be reviewed prior to submission. Contact your OCGA Officer ASAP regarding a federal contract proposal.
- At the time the federal sponsor requests a best and final budget that is \$550,000 or more, a Small Business Subcontracting Plan (SBSP) must be prepared by Purchasing incorporating the final budget figures. If the final budget includes a subaward in excess of \$550,000, the material submitted to the sponsor must include TWO SBSPs - one from the proposed subrecipient, and one from UCLA. **Note: Purchasing needs a copy of the final budget two weeks prior to submission to complete the SBSP.**

Non-profit

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Federal Sponsors

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Non-profit



Non-profit sponsors, such as private foundations, are not restricted by the OMB circulars and are free to implement their own policies - creating a wide range of regulatory and procedural compliance requirements. Charges not allowable on federal proposals may be allowable on foundation proposals; however, the reverse may also be true. Many non-profit sponsors reflect the general principles set out in federal guidelines.

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What to be aware of when preparing a proposal to a non-profit sponsor:

Different F&A rates

UCLA may accept these reduced F & A rates based on the non-profit, philanthropic status as documented in the organization's written policy. This waiver must be processed by the OCGA Officer or Grant Analyst and submitted to UCOP for approval.

F&A bases can vary

Total Direct Cost (TDC) doesn't always mean there are no exclusions before calculating F&A. For example, one foundation might allow 9% of TDC, excluding fringe benefits, while another might allow 11% of TDC on all budget elements.

Allowable/unallowable budget categories

The proposal instructions may limit expenses that could be allowed by another sponsor, or vice versa.

Prior approval is often required when modifying line items in a budget after an award is issued

It is important to read the proposal guidelines and sponsor policies for budget and/or rebudgeting limitations and prepare your budget accordingly to minimize the need for post-award rebudgeting

May include cost sharing requirements

While the University discourages voluntary cost-sharing, some non-profit sponsors encourage, or mandate, that cost-sharing be included.

May have direct/total cost caps

For example, a non-profit sponsor might limit proposal requests to \$40,000 per year, including F&A; others might limit proposal requests to \$40,000 per year in direct costs, plus F&A.

State and Local Government

Sponsor Types


Federal Sponsors

Non-profit

State and Local Government

For Profit Sponsors

State and Local Government



Regardless of what the proposal guidelines may say, State and Local Government proposals usually result in contracts. Get OCGA involved as soon as possible when preparing a proposal going to the State or Local Government.

What to be aware of in preparing a proposal to the State or Local Government:

PI may submit a draft budget without OCGA review
Often the Program Officer and PI have discussions independent of OCGA, and an informal or draft budget is submitted without first consulting OCGA.

That budget, often incorporated into the contract, may not be fully costed, so the OCGA Officer has to renegotiate the

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That budget, often incorporated into the contract, may not be fully costed, so the OCGA Officer has to renegotiate the budget to secure full costs, including full F&A. If not successful, the difference in F&A has to come from the direct costs. For this reason OCGA recommends the PI's discussion with a Program Officer be limited to programmatic issues, and that a draft budget NEVER be submitted without first consulting OCGA.

Post Award Rebudgeting Restrictions

State and Local Government contract terms are restrictive and require prior approval for the smallest changes in the project or budget; care should be taken in preparing the budget to minimize the need for post-award rebudgeting.

F&A Rate

Unless there is an existing class waiver from UCOP for the particular agency/program, the full applicable federally negotiated rate for the type of project being conducted must be requested. Contact OCGA for information regarding waivers.

SUBAWARDS greater than \$50,000 IN STATE CONTRACTS

For State contracts, any subaward in excess of \$50,000 requires UCLA to obtain sole source approval which means:

UCLA has to include sole-source justification (Dept. provides sole-source justification to State Program Officer for approval) *or* UCLA must competitively bid the subaward

For Profit Sponsors

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For Profit Sponsors



Most research awards from for-profit sponsors will be issued in the form of a contract. Contract proposals to for profit sponsors are handled by the Contract Officers/Analysts in the Office of Intellectual Property and Industry Sponsored Research ([OIP-ISR](#))

What to be aware of when preparing a proposal to a for profit sponsor:

Proposal submission signifies acceptance of the RFP's terms and conditions.
Legally binding contract clauses are included in the RFP and MUST be reviewed and negotiated by Office of Intellectual Property and Industry Sponsored Research in consultation with the Principal Investigator prior to submission to assure that terms are acceptable and comply with Federal and State laws,

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Rebudgeting Restrictions

Contract terms are restrictive and often require prior approval for changes in the project or budget; care should be taken in preparing the budget to minimize the need for post award rebudgeting

F&A rate

F&A costs for contract proposals with for-profit sponsors should use the appropriate UCLA Federally negotiated rate.

Equipment

May limit the purchase of equipment or maintain title to equipment purchased after project completion.

Confidentiality Agreements

Confidentiality Agreements that require the recipient of sponsor information to keep that information in confidence may be required.

CLINICAL TRIAL CONTRACTS

Contracts for clinical trials with private pharmaceutical companies are handled by the School of Medicine Clinical Trial Contracting Unit. The budgets for clinical trials with private pharmaceutical companies are quite different from budgets for other sponsors. For example, the F&A rate is different. Consult the Clinical Trial Unit Officers/Analyst for guidance.

“What type of proposal?”

- ☐ Solicited/Unsolicited?
- ☐ Preliminary or pre-proposal?
- ☐ New?
- ☐ Renewal?
- ☐ Continuation/
Progress report?
- ☐ Revised budget?
- ☐ Subaward - UCLA as a subrecipient in another institution's budget?
- ☐ Supplement?
- ☐ Resubmission (Revised) proposal?



The type of proposal being submitted will greatly impact its preparation and submission. The following “Proposal Type” mini module will illustrate this.

Proposal Types

Preliminary

The screenshot shows a web application interface with a dark header bar labeled 'Proposal Types'. Below the header is a sidebar with a list of proposal types: Preliminary, Pre-proposal, New, Continuation/Progress R..., Supplement, Renewal, Resubmission, Revision, Subaward, Limited Submission Prop..., and Revised Budgets. The 'Preliminary' option is selected and highlighted. The main content area, titled 'Preliminary', contains three paragraphs of text and a footnote. The first paragraph describes preliminary proposals as short one to three page descriptions. The second paragraph explains that review and approval are not required by OCGA, but some sponsors require routing through the central office. The third paragraph discusses the requirement for an estimated dollar amount or a draft budget. The footnote clarifies that the term 'preliminary' is often used interchangeably with 'pre-proposal', 'white paper', and 'letter of intent'.

Preliminary

Some sponsors request preliminary proposals* that are typically a short one to three page description of the proposed project. The sponsor reviews a preliminary proposal to determine if the idea is within the funding interests of the agency. Individuals can also use this opportunity to request program information as well as guidelines and forms.

Because preliminary proposals generally do not represent an offer by the University, review and approval is not required by OCGA. However, some sponsors require routing through the central office. In these cases, a draft goldenrod is required prior to submission.

Some preliminary proposals require an estimated dollar amount only, while others require a draft budget. If a draft budget is required, it's recommended that OCGA review the budget even if a signature is not required by the sponsor.

*Term often used interchangeably with pre-proposal, white paper, letter of intent.

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Pre-proposal

The image shows a software interface titled "Proposal Types". On the left is a vertical sidebar with ten buttons: "Preliminary", "Pre-proposal" (which is highlighted with a dark background), "New", "Continuation/Progress R...", "Supplement", "Renewal", "Resubmission", "Revision", "Subaward", and "Limited Submission Prop...". Below these is a button labeled "Revised Budgets". The main content area on the right is titled "Pre-proposal" and contains the following text:

Pre-proposals* are often recommended (or required) by a sponsor in advance of submitting a final or formal proposal. After a full review of the pre-proposal, the sponsor determines whether the applicant will be invited to submit a full proposal.

Pre-proposals often include an expanded abstract, normally consisting of three to five pages of narrative, describing the proposed scope of work and the expected outcomes of the activity. The pre-proposal does not include the detailed and justified budget required in formal or full proposals; however, applicants may include a preliminary estimate of costs.

Any pre-proposal that requires institutional endorsement must be handled like a formal proposal and routed through OCGA

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New

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A new proposal is a proposal submitted to a particular sponsor for the first time. It often proposes a multi-year project period. New proposals are usually competitively (peer) reviewed.

A new proposal can be a solicited or unsolicited proposal.

Solicited proposals are submitted in response to a specific program announcement or request for proposal. They should be prepared according to the program guidelines issued by the sponsor. Deadlines (receipt or postmark) are often specified and may recur annually or several times a year for some grant or contract announcements. Sponsors request proposals through announcements such as:

- Funding Opportunity Announcement (FOA)
- Request for Proposals (RFP)
- Request for Applications (RFA)
- Program Announcement (PA)
- Broad Agency Announcement (BAA)

An unsolicited or investigator-initiated proposal is when the sponsor does not announce a formal grant or contract competition; however, the PI develops the proposal based on

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knowledge of the sponsor's research, training, or public service interests. Many sponsors accept unsolicited proposals, and it is recommended that unsolicited proposals be prepared according to the format the sponsor uses for solicited proposals. If the sponsor does not have a specific format, the standard proposal format should be used:

- Cover Page
- Project Description
- Budget
- Biographical Sketches
- References

Continuation/Progress Report

The screenshot shows a web interface with a dark header bar containing the text 'Proposal Types'. Below the header is a list of proposal types in red buttons: Preliminary, Pre-proposal, New, Continuation/Progress R..., Supplement, Renewal, Resubmission, Revision, Subaward, Limited Submission Prop..., and Revised Budgets. The 'Continuation/Progress R...' button is highlighted. To the right of the list is a white box with the title 'Continuation/Progress Report' and three paragraphs of text explaining the nature and requirements of these reports.

Proposal Types

Continuation/Progress Report

Often referred to as non-competing continuations or Progress Reports, these applications request funding for a previously approved budget period within a multi-year project, and are not peer reviewed, but rather administratively reviewed by the sponsor.

The proposal usually consists of a budget, progress report, curricula vitae for new personnel, and reprints of journal articles. The continuation proposal/progress report often includes an estimate of expenditures showing the residual balance and any carryover from the previous year.

Some continuation proposals of a multi-year project must be routed and approved by OCGA in the same manner as new proposals to assure that the appropriate University officials are apprised of any changes in the original proposal. Some sponsors, such as NSF and NIH, require that simple progress reports be sent directly to them (via electronic systems) and do not need to go through OCGA.

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Supplement

The screenshot shows a web interface with a dark header bar containing the text "Proposal Types". Below the header is a sidebar with a list of proposal types, each in a dark red button. The "Supplement" button is highlighted with a lighter, greyish-red background. To the right of the sidebar is a main content area with a white background and a thin border. It has a title "Supplement" in bold, followed by three paragraphs of text. The first paragraph defines a supplement as a request for additional funds. The second paragraph lists questions to consider when determining the type of supplement. The third paragraph describes the format of a supplemental proposal. A red note at the bottom states that "supplement" supersedes "revision" for NIH Grants.gov proposals.

Proposal Types

- Preliminary
- Pre-proposal
- New
- Continuation/Progress R...
- Supplement**
- Renewal
- Resubmission
- Revision
- Subaward
- Limited Submission Prop...
- Revised Budgets

Supplement

A supplement is a request to the sponsor for additional funds for an ongoing project during an already approved performance period.

It is important to determine what kind of supplement is being requested. Is it in response to a specific opportunity? Is it a supplement for students? For a conference? Is it to fund unanticipated twist in research (often referred to as an "administrative" supplement)? Will the supplement have an F&A rate different from parent award?

A supplemental proposal may consist of a simple letter request or statement of work and a budget for the funds requested. It must be routed through OCGA with a goldenrod and, possibly, other internal forms.

For NIH Grants.gov proposals, "supplement" supersedes the term, "revision"

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Renewal

The screenshot shows a web interface with a dark header bar containing the text "Proposal Types". Below the header is a list of proposal types in a vertical column of buttons: Preliminary, Pre-proposal, New, Continuation/Progress R..., Supplement, Renewal (highlighted with a dark background), Resubmission, Revision, Subaward, Limited Submission Prop..., and Revised Budgets. To the right of this list is a large white box with a light gray border. Inside this box, the word "Renewal" is written in bold at the top. Below it, there are three paragraphs of text: "A renewal is a request to continue support for an existing project beyond its originally scheduled project period and typically requests a subsequent project period be established. Renewals are usually competitively reviewed", "A renewal proposal may be awarded as a new grant or as an amendment to an existing grant.", and "UCLA usually requires financial close-out of the initial project when receiving a renewal."

Proposal Types

Preliminary

Pre-proposal

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Resubmission

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Resubmission

A resubmission is usually at the request of a sponsor based on reviewer's comments. It is essentially a replacement for an earlier unfunded new or renewal proposal, and processed in the same manner. A resubmission is not to be confused with revised budgets

For NIH Grants, what we previously referred to a "revision" is now termed a "resubmission", and what we previously referred to as a "supplement" is now termed a "revision".

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Revision

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Revision usually refers to a modified and resubmitted request for funding for a project that was previously not funded either because it was denied by the sponsor or withdrawn by the principal investigator.

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Subaward

The image shows a software interface titled "Proposal Types". On the left is a vertical sidebar with eleven buttons: "Preliminary", "Pre-proposal", "New", "Continuation/Progress R...", "Supplement", "Renewal", "Resubmission", "Revision", "Subaward" (which is highlighted with a dark background), "Limited Submission Prop...", and "Revised Budgets". The main content area on the right is titled "Subaward" and contains the following text:

Subaward in this context refers to when UCLA is a subrecipient in another institution's proposal. For example, USC (agency or proposing organization) is preparing a proposal in response to a funding opportunity from NIH (prime), and has invited UCLA (subrecipient) to participate in a substantive way.

UCLA must prepare and submit a "mini proposal" to the organization submitting the prime proposal. The proposal must be routed through OCGA with internal forms and include, at a minimum:

- Scope of Work
- Budget and Budget Justification
- CVs of key personnel
- Other sponsor documents as required

OCGA will also need a copy of the prime sponsor guidelines as well as any communication from the proposing organization.

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OCGA will also need a copy of the prime sponsor guidelines as well as any communication from the proposing organization.

Limited Submission Proposals

The screenshot shows a web interface with a dark header bar labeled 'Proposal Types'. On the left is a vertical sidebar of red buttons with white text: 'Preliminary', 'Pre-proposal', 'New', 'Continuation/Progress R...', 'Supplement', 'Renewal', 'Resubmission', 'Revision', 'Subaward', 'Limited Submission Prop...', and 'Revised Budgets'. The 'Limited Submission Prop...' button is highlighted. The main content area has a title 'Limited Submission Proposals' and two paragraphs of text. The first paragraph explains that some sponsors restrict the number of applications from individual institutions. The second paragraph mentions the UCLA Vice Chancellor for Research (Roberto Peccei, PhD) and Marilyn Frerking. Below the text is a box titled 'Sample limited submission language from actual program announcements' containing a list of bullet points with sample language. A search icon is at the bottom right of the sample language box.

Proposal Types

Limited Submission Proposals

Some sponsors restrict the number of applications or nominations that they will accept from an individual institution. These programs are called limited submission programs. See image below for sample limited submission language from a variety of sponsors.

On the UCLA campus, the Vice Chancellor for Research (Roberto Peccei, PhD) provides oversight for the limited submission program. Marilyn Frerking works with the Vice

Sample limited submission language from actual program announcements

- "No more than two (2) candidates may apply from any one institution."
- "Limit on Number of Proposals per Organization: 1
An organization may not be the lead organization in more than one proposal."
- "Number of Applications: UNHCR will not consider more than one application simultaneously from an applicant organization."
- "Number of Applications: Applicant institutions may only submit only a single application. Multiple applications from the same institution or university system (as recognized by UNHCR) will be considered non-responsive and will not be reviewed." The UNHCR strongly encourages collaboration of various schools of multi-component institutions by joining together in the submission of a single application."
- "An eligible institution may only submit a single application as the sole or lead institution. If more than one application is received identifying the same institution as the sole applicant or as the lead applicant in a partnership or consortium, all applications from this institution may be returned without review. In such cases, UNHCR will contact the appropriate institutional official to identify which application is to be accepted."
- "An organization may submit only one application under these FY 2009 Grants for Arts Projects guidelines (see "Application Limits" for the few exceptions to this rule)."
- "Each college and university in the United States and its jurisdictions may nominate two faculty members."

Some sponsors restrict the number of applications or nominations that they will accept from an individual institution. These programs are called limited submission programs. See image below for sample limited submission language from a variety of sponsors.

On the UCLA campus, the Vice Chancellor for Research (Roberto Peccei, PhD) provides oversight for the limited submission program. Marilyn Frerking works with the Vice Chancellor's office to identify and disseminate notices about the limited submissions to the campus.

OCGA initially shares information about any limited submission program with the Deans of the appropriate schools and colleges. The Deans, in turn, work with department Chairs to identify faculty whose area of inquiry matches the sponsor's criteria, who meet eligibility criteria for the program, and who might be interested in developing an application. The faculty member is asked to submit the proposed concepts, if interested. The Deans, working in concert with OCGA and the Vice Chancellor, are actively involved in determining which concepts are then developed to respond to the limited submission program.

Most limited submission proposals require a standard review and approval through OCGA. All chosen applicants for a limited submission competition receive an email from OCGA that includes instructions in how to proceed with their application. For any questions about the limited submission process at UCLA, you may contact Marilyn Frerking at x40549.

Revised Budgets

The screenshot shows a web interface with a dark header bar labeled "Proposal Types". Below the header, on the left, is a vertical list of proposal types, each in a dark red button: Preliminary, Pre-proposal, New, Continuation/Progress R..., Supplement, Renewal, Resubmission, Revision, Subaward, Limited Submission Prop..., and Revised Budgets. The "Revised Budgets" button is highlighted in a darker shade. To the right of this list is a white box with a light gray border. At the top of this box is the title "Revised Budgets". Below the title is a paragraph of text: "Revised budgets may need to be submitted in response to budget cuts made by a sponsor. Depending on the size of the cuts, a revised scope of work may need to be submitted." Below this paragraph is another paragraph: "Revised budgets require OCGA endorsement and may require a revised Goldenrod."

Proposal Types

Preliminary

Pre-proposal

New

Continuation/Progress R...

Supplement

Renewal

Resubmission

Revision

Subaward

Limited Submission Prop...

Revised Budgets

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“What type of award is anticipated?”

- ☐ Grant?
- ☐ Contract?
- ☐ Subaward?



- ☐ Type of proposal prepared
- ☐ Central office that reviews it

The type of award anticipated impacts the type of proposal that will be prepared, and which central office will handle its review and submission. You can review award types in the next “Award Type” mini-module.

Award Types

Grant

Award Types

Grant

A grant is a type of financial assistance awarded to conduct research or other program - usually for the public benefit - as specified in an approved proposal.

For an award to be considered a grant, it will contain the following elements:

- The statement of work allows the PI significant freedom to change the emphasis within the general area of work as the project progresses. (No substantial involvement is anticipated between the sponsor and UCLA during performance of research.)
- Deliverables are minimal, consisting typically of reports.
- Benefits of the project are to accrue to the nation and the world.

Most grants use the cost-reimbursement method of payment, thus any unexpended balance at the completion of the project is usually returned to the sponsor.

[Most Grants are handled by the Office of Contract and Grant Administration](#)

A grant is a type of financial assistance awarded to conduct research or other program - usually for the public benefit - as specified in an approved proposal.

For an award to be considered a grant, it will contain the following elements:

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[Most Grants are handled by the Office of Contract and Grant Administration](#)

Cooperative Agreement

The screenshot shows a web interface with a dark header bar labeled "Award Types". Below the header is a sidebar with a list of award types, each in a red button: "Grant", "Cooperative Agreement" (which is highlighted with a dark grey background), "Contracts", "Cost-Reimbursement Co...", "Fixed Price/Rate Contracts", "Clinical Trial Contracts w...", "Clinical Study", "Subawards", and "Multiple Campus Agree...". To the right of the sidebar, the "Cooperative Agreement" section is expanded, showing a definition and a link to the "Office of Contract and Grant Administration".

Award Types

- Grant
- Cooperative Agreement**
- Contracts
- Cost-Reimbursement Co...
- Fixed Price/Rate Contracts
- Clinical Trial Contracts w...
- Clinical Study
- Subawards
- Multiple Campus Agree...

Cooperative Agreement

A cooperative agreement is similar to a grant, except that the sponsor's staff may actively participate in the programmatic design and, once awarded, may continue to actively participate or have substantial involvement in project activities.

Most Cooperative Agreements are handled by the [Office of Contract and Grant Administration](#)

A cooperative agreement is similar to a grant, except that the sponsor's staff may actively participate in the programmatic design and, once awarded, may continue to actively participate or have substantial involvement in project activities.

Most Cooperative Agreements are handled by the [Office of Contract and Grant Administration](#)

Contracts

The screenshot shows a web interface titled "Award Types". On the left is a vertical sidebar with buttons for different award types: "Grant", "Cooperative Agreement", "Contracts" (which is highlighted with a dark background), "Cost-Reimbursement Co...", "Fixed Price/Rate Contracts", "Clinical Trial Contracts w...", "Clinical Study", "Subawards", and "Multiple Campus Agree...". The main content area on the right is titled "Contracts" and contains the following text:

A contract is an agreement to acquire services that primarily benefit the sponsor. This means the sponsor has specific tasks it wishes to be performed. There is little flexibility in work performance or expenditure of funds.

For an award to be considered a contract, it normally must contain all of the following elements:

- Detailed financial and legal requirements included with a specific statement of work.
- A specific set of deliverables and/or reports to the sponsor.
- Separate accounting procedures.
- Legally binding contract clauses.

Contracts with the non-profits, State, and Federal or local government are handled by the Office of Contract and Grant Administration ([OCGA](#))

Contracts with for-profit sponsors (and are not clinical trials) are handled by the Industry Officers and Analysts in the Office

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Contracts with the non-profits, State, and Federal or local government are handled by the Office of Contract and Grant Administration ([OCGA](#))

Contracts with for-profit sponsors (and are not clinical trials) are handled by the Industry Officers and Analysts in the Office of Intellectual Property and Industry Sponsored Research ([OIP-ISR](#))

Clinical Trial Contracts with private pharmaceutical companies are handled by the Clinical Trial Officers and Analysts in the School of Medicine [Clinical Trial Contracts Unit](#)

Cost-Reimbursement Contracts

The screenshot shows a web interface titled "Award Types". On the left is a vertical list of award types: Grant, Cooperative Agreement, Contracts, Cost-Reimbursement Co..., Fixed Price/Rate Contracts, Clinical Trial Contracts w..., Clinical Study, Subawards, and Multiple Campus Agree... The "Cost-Reimbursement Co..." option is highlighted. To the right of this list, the details for "Cost-Reimbursement Contracts" are displayed. The title "Cost-Reimbursement Contracts" is at the top of this section. Below it, the text reads: "Under cost-reimbursement contracts, the sponsor agrees to give UCLA actual dollars in an amount exactly equal to what UCLA spends on allowable costs." This is followed by a paragraph: "There is a limit to the contract amount and UCLA must notify the sponsor if it appears all funds will be spent prior to completion of the work. The sponsor may decide to add more money to allow completion of the approved scope of work." Another paragraph states: "Because the work is usually associated with the PI's 'best effort,' it poses the least risk to the University and, therefore, is the most desirable method of contracting." The final line of text in this section is: "See 'Contracts' for central offices that handle contracts."

Award Types

Grant

Cooperative Agreement

Contracts

Cost-Reimbursement Co...

Fixed Price/Rate Contracts

Clinical Trial Contracts w...

Clinical Study

Subawards

Multiple Campus Agree...

Cost-Reimbursement Contracts

Under cost-reimbursement contracts, the sponsor agrees to give UCLA actual dollars in an amount exactly equal to what UCLA spends on allowable costs.

There is a limit to the contract amount and UCLA must notify the sponsor if it appears all funds will be spent prior to completion of the work. The sponsor may decide to add more money to allow completion of the approved scope of work.

Because the work is usually associated with the PI's "best effort," it poses the least risk to the University and, therefore, is the most desirable method of contracting.

See "Contracts" for central offices that handle contracts.

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There is a limit to the contract amount and UCLA must notify the sponsor if it appears all funds will be spent prior to completion of the work. The sponsor may decide to add more money to allow completion of the approved scope of work.

Because the work is usually associated with the PI's "best effort," it poses the least risk to the University and, therefore, is the most desirable method of contracting.

See "Contracts" for central offices that handle contracts.

Fixed Price/Rate Contracts

The screenshot shows a web interface titled "Award Types" with a sidebar of buttons and a main content area. The sidebar buttons are: Grant, Cooperative Agreement, Contracts, Cost-Reimbursement Co..., Fixed Price/Rate Contracts (highlighted), Clinical Trial Contracts w..., Clinical Study, Subawards, and Multiple Campus Agree... The main content area has the heading "Fixed Price/Rate Contracts" and contains the following text:

Under fixed price/rate contracts, UCLA agrees to provide a service or deliver a product at a fixed payment amount regardless of our costs.

If the project costs more than what was proposed and agreed to, UCLA will have to absorb the additional costs. On rare occasions, the University may be able to renegotiate the costs . Therefore, fixed-price/rate agreements place the University at a greater risk.

Any unexpended balance at the conclusion of a fixed price/rate contract remains with the University under UCLA [Policy 913](#), Disposition of Unexpended funds in Contracts and Grants.

Clinical Trials are usually fixed rate contracts.

See "Contracts" for central offices that handle contracts.

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Clinical Trials are usually fixed rate contracts.

See "Contracts" for central offices that handle contracts.

Clinical Trial Contracts with Private Pharmaceuticals

The screenshot shows a web interface with a dark header bar labeled "Award Types". Below the header is a list of award types in red buttons: Grant, Cooperative Agreement, Contracts, Cost-Reimbursement Co..., Fixed Price/Rate Contracts, Clinical Trial Contracts w..., Clinical Study, Subawards, and Multiple Campus Agree... The "Clinical Trial Contracts w..." button is selected, and its details are shown in a white box on the right. The details include a title "Clinical Trial Contracts with Private Pharmaceutic...", a description "A clinical trial combines research with the testing of practical applications in biomedicine.", and two paragraphs of text. The first paragraph states that clinical trials are usually funded by pharmaceutical companies seeking approval of new pharmaceutical products or treatments by the Food and Drug Administration (FDA) and awarded as fixed rate contracts. The second paragraph states that Clinical Trial Contracts with private pharmaceutical companies are handled by the Clinical Trial Officers and Analysts in the School of Medicine, with a link to the "Clinical Trial Contracts Unit". The third paragraph states that Clinical trials (referred to as "clinical studies") with the National Institutes of Health or a non-profit entity are handled by the Officers and Analysts in "OCGA".

Award Types

Grant

Cooperative Agreement

Contracts

Cost-Reimbursement Co...

Fixed Price/Rate Contracts

Clinical Trial Contracts w...

Clinical Study

Subawards

Multiple Campus Agree...

Clinical Trial Contracts with Private Pharmaceutic...

A clinical trial combines research with the testing of practical applications in biomedicine.

Clinical trials are usually funded by pharmaceutical companies seeking approval of new pharmaceutical products or treatments by the Food and Drug Administration (FDA) and awarded as fixed rate contracts.

Clinical Trial Contracts with private pharmaceutical companies are handled by the Clinical Trial Officers and Analysts in the School of Medicine [Clinical Trial Contracts Unit](#)

Clinical trials (referred to as "clinical studies") with the National Institutes of Health or a non-profit entity are handled by the Officers and Analysts in [OCGA](#).

A clinical trial combines research with the testing of practical applications in biomedicine.

Clinical trials are usually funded by pharmaceutical companies seeking approval of new pharmaceutical products or treatments by the Food and Drug Administration (FDA) and awarded as fixed rate contracts.

Clinical Trial Contracts with private pharmaceutical companies are handled by the Clinical Trial Officers and Analysts in the School of Medicine [Clinical Trial Contracts Unit](#)

Clinical trials (referred to as "clinical studies") with the National Institutes of Health or a non-profit entity are handled by the Officers and Analysts in [OCGA](#).

Clinical Study

The screenshot shows a web interface titled "Award Types" in a dark header bar. On the left is a vertical sidebar with ten buttons: "Grant", "Cooperative Agreement", "Contracts", "Cost-Reimbursement Co...", "Fixed Price/Rate Contracts", "Clinical Trial Contracts w...", "Clinical Study" (which is highlighted with a dark background), "Subawards", and "Multiple Campus Agree...". The main content area on the right is titled "Clinical Study" and contains the following text: "A clinical trial performed under an award from a government or non-profit entity is referred to as a \"clinical study\"". Below this is a blue hyperlink "[OCGA](#) handles clinical study proposals." and another paragraph stating "Clinical Trial Contracts with private pharmaceutical companies are handled by the Clinical Trial Officers and Analysts in the School of Medicine [Clinical Trial Contracts Unit](#)".

A clinical trial performed under an award from a government or non-profit entity is referred to as a "clinical study"

[OCGA](#) handles clinical study proposals.

Clinical Trial Contracts with private pharmaceutical companies are handled by the Clinical Trial Officers and Analysts in the School of Medicine [Clinical Trial Contracts Unit](#)

Subawards

Award Types

Grant

Cooperative Agreement

Contracts

Cost-Reimbursement Co...

Fixed Price/Rate Contracts

Clinical Trial Contracts w...

Clinical Study

Subawards

Multiple Campus Agree...

Subawards

A subaward transfers a portion of the research or substantive effort included in the prime award to another institution or organization.

Subawards are written under the authority of a prime award and are consistent with the terms and conditions of the prime award - grant, contract, or cooperative agreement.

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Subawards are written under the authority of a prime award and are consistent with the terms and conditions of the prime award - grant, contract, or cooperative agreement.

Multiple Campus Agreement

Award Types

Grant

Cooperative Agreement

Contracts

Cost-Reimbursement Co...

Fixed Price/Rate Contracts

Clinical Trial Contracts w...

Clinical Study

Subawards

Multiple Campus Agree...

Multiple Campus Agreement

A Multiple Campus Agreement (MCA) is a subaward from one UC campus to another.

Note: When UCLA includes a sub to another UC campus in its proposal, the central office (OCGA, OIP, or OCT) that reviewed and submitted the prime proposal is responsible for preparing the MCA if the proposal is funded.

A Multiple Campus Agreement (MCA) is a subaward from one UC campus to another.

Note: When UCLA includes a sub to another UC campus in its proposal, the central office (OCGA, OIP, or OCT) that reviewed and submitted the prime proposal is responsible for preparing the MCA if the proposal is funded.

Pop quiz! Who handles my proposal?

Select which central office you
believe would handle your proposal.
(Answers are within the Award Type mini module)



Pop Quiz! Select which central office you believe would handle your proposal. This can be tricky! Do your best.

Who handles my proposal?

Question 1 of 7

Which office would handle a proposal for a clinical trial with Pfizer Pharmaceuticals?

- ☐ Office of Intellectual Property and Industry Sponsored Research
- ☐ Office of Contract and Grant Administration
- ☐ SOM Clinical Trial Contracting Unit

PROPERTIES

On passing, 'Finish' button:

On failing, 'Finish' button:

Allow user to leave quiz:

User may view slides after quiz:

User may attempt quiz:


[Goes to Next Slide](#)


[Goes to Next Slide](#)

[At any time](#)

[At any time](#)

[Unlimited times](#)

 Properties...

 Edit in Quizmaker

So, who DOES handle my proposal?

□ [The F](#)
[for R](#)
[Relat](#)
[Agree](#)



| | |
|---|---|
| | gov't or non-profit g. NIH, Amer. Lung USC to UCLA) |
| | Contract and Grant tion ("OCGA") |
| | ards) or Purchasing contracts) |
| | gov't or non-profit g. NIH, Amer. Lung USC to UCLA) |
| | ICGA |
| | ICGA |
| | gov't or non-profit g. NIH, Amer. Lung USC to UCLA) |
| | IO) |
| | ICGA |
| Individual fellowships | Grad. Div. for Student Support |
| Visiting scholars (from non-profits) and postdoctoral scholars | OIP/ISR or Legal |
| Visiting scientist (from industry) agreements | |

Responsibility for handling agreements related to sponsored research is distributed across various UCLA administrative offices based on the nature of the transactions and sponsors. In some cases, multiple offices may share responsibility for different aspects of the negotiation and administration of the agreement. For these reasons, The Responsibility for Research-Related Agreements - is a helpful matrix to bookmark for future reference.

PROPOSAL COMMANDMENTS



- ❑ Thou Shalt make sure thou has the MOST RECENT Proposal Guidelines
- ❑ Thou Shalt READ thy Proposal Guidelines
- ❑ Thou Shalt FOLLOW thy Proposal Guidelines

Take proposal guidelines seriously! It is amazing how often OCGA receives proposals with obvious omissions and oversights because the preparers did not take time to read the guidelines.

“Is there specific guidance?”

- ❑ Do you have the most recent guidelines?
 - Sign up for sponsor alerts
- ❑ More than one set to refer to?
Could be up to three:
 1. Specific program guidelines
 2. General sponsor guidelines
 3. Electronic system guidelines
- ❑ **Notify OCGA ASAP with copy of, or link to, the guidelines**



Thanks to the web, it is easy for sponsors to update or change guidelines. And they do! If a sponsor has an email alert option to keep you apprised of any program announcement changes or updates, sign up for it. (pause) Make sure you have ALL the guidelines. There could be up to three sets, depending on the sponsor. Finally, don't forget OCGA!

“Is there specific guidance?”

- ❑ Review 2-3 times
 - Use PA checklist
- ❑ Review with your “tool kit” at hand:
 - highlighter pens
 - sticky notes
 - flags
- ❑ Questions/problems/ complexities to attention of PI and/or OCGA ASAP



We recommend you review guidelines 2-3 times, using the program announcement checklist (available in the resource tab.) Use highlighting pens, sticky notes, and flags to tag instructions or guidance of importance. Questions on this checklist appear in the following three slides. Take a moment to look at all the considerations. If you use this checklist when reviewing guidelines, it is highly unlikely you'll miss anything important. **Don't forget, OCGA is here to help.**

- ✓ Have most recent guidelines?
- ✓ More than one set of guidelines to be referring to?
- ✓ Electronic or paper submission? Optional? Mandatory? Both required?
- ✓ Deadline date – receipt, postmarked, or machine stamped?
- ✓ Time deadline – local time or sponsor's time?
- ✓ Limit on how much funding can be requested?
- ✓ What type of funding instrument anticipated – grant, contract, subaward?
- ✓ What type of terms (e.g. under the FDP – now called federalwide terms and conditions)



Not narrated

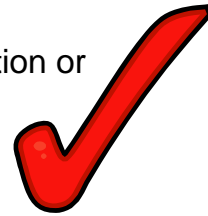
- ✓ Is there more than one stage of proposal preparation (e.g. letter of intent or pre-proposal?)
- ✓ Limited submission? (e.g. only one proposal can be submitted by an institution?)
- ✓ Multiple copies of proposal need to be sent to different addresses?
- ✓ Limit on project duration (one year – five years?)
- ✓ Limit on number of PI's or Co-PI's?
- ✓ Earliest start date for project?
- ✓ Technical requirements (e.g. collaboration between various scientific fields)
- ✓ Cost sharing – Mandatory? Encouraged? Voluntary cost sharing allowed?

Not narrated



- ✓ Any categories not allowable? (e.g. foreign travel?)
- ✓ What is the F&A rate?
- ✓ Any time/effort commitments required? Any guidance regarding effort without compensation?
- ✓ Any caps? (e.g. salary, equipment)
- ✓ Page limitations?
- ✓ Format restrictions? (e.g. margins, font type and font size)
- ✓ Appendices allowed? Expected?
- ✓ Training component allowed? Expected? Students paid stipend or salary?
- ✓ Special forms or formats, schedules or cost breakdowns?
- ✓ Subawards allowed?
- ✓ Unusual considerations (e.g., conferences, alteration or renovation?)

Not narrated



“Are there time consuming elements?”

- ☐ Contract
- ☐ Special forms or formats
- ☐ Training or Program Grant
- ☐ Clinical trials/studies
- ☐ Outgoing subawards
- ☐ Collaborative/multidisciplinary proposals
- ☐ Electronic submissions



Contracts take time. They often have special (and often complex) forms or formats, and terms and conditions that may need to be addressed prior to proposal submission. NIH Training or Program grants are extremely large and complex; they entail a great deal of data that requires research and cooperation of many people. It can take months to prepare a training or program grant proposal. Clinical trials/studies take time to prepare the budget. Outgoing subawards are time consuming because of the “mini proposal” required from the subrecipient. Collaborative or multidisciplinary projects take more time because of the involvement of more than one PI, department, institution or sponsor. Surprisingly, proposals being submitted electronically take more time.

Collaborative/Multidisciplinary Projects

❑ Interagency Programs

- Collaboration among agencies such as National Science Foundation (NSF), National Institutes of Health (NIH) and, the Department of Defense (DOD)
- Awards may come from TWO different sponsors *or* monitored by two different sponsors
- Watch for requirements from each participating agency

Interagency programs are a form of collaborative/multidisciplinary project whereby there is collaboration among agencies, such as NSF, NIH, and DOD, and others.

Collaborative/Multidisciplinary Projects

❑ Inter-disciplinary programs

- Different disciplines of science participating in research (such as Engineering, Medicine, Biology)
- Watch for various departmental practices



Inter-disciplinary programs could also be referred to as “team science”. It is important to be mindful of the various UCLA academic department practices, especially in the preparation of the proposal budget. The budgets in the proposal should be consistent.

Collaborative/Multidisciplinary Projects

❑ Inter-institutional Projects

- Collaboration among multiple institutions, usually two or more universities
- Multiple proposals, multiple awards, one project
- Common features:
 - One institution identified as lead
 - Same title on all proposals
 - Identify proposals as collaborative
 - One science section
- NSF collaborative proposals must be submitted via FastLane

****Everyone Must Submit On Time****

Another type of Team Science is a collaborative project whereby multiple institutions participate in one project, but submit separate proposals and receive separate awards. These are very common with NSF grants and also common with Dept of Energy grants. The intent is to assign the administrative responsibility to each participating institution, and eliminate overlapping indirect costs that occur when one award has subawards.

Each sponsor will have its own rules for preparing these collaborative proposals. However, some commonalities are:

- One institution is identified as the lead institution, so there is one Point of Contact
- Each proposal must have the exact same title
- Each proposal must be identified as a collaboration
- The lead institution submits the science, or all submit the same science

NSF collaborative proposals must be submitted through FastLane because it has special collaborative proposal functionality that Grants.gov can not support.

It is important to note that all institutions must submit their proposal by the deadline date in order for the proposal to be considered on time. So, maintain regular communication with your collaborators, especially if UCLA is the lead institution.

NIH “Multiple PI” Proposal

- ❑ Primarily for research proposals (team science)
- ❑ Proposal may have more than one PI
- ❑ Each PI shares responsibility for direction of project or activity
- ❑ For purposes of communication, a contact or lead PI must be established
- ❑ See NIH Notice [NOT-OD-06-036](#) and [NOT-OD-06-090](#)



The NIH Multiple PI Proposal concept works well with Team Science projects. But such proposals take more time to prepare. Check program guidelines for specific criteria - some programs may not allow multiple PIs

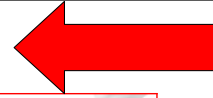
More time consuming elements

- ❑ Does proposal exceed \$500,000 direct costs in any one year?
 - OCGA signature authority
 - NIH prior approval
 - Small Business Subcontracting Plan for contracts (when proposal greater than \$550,000 in any year)



As you can see, a proposal that exceeds 500,000 in direct cost often requires additional administrative steps.

OCGA Signature Authority



OCGA Signature Authority: Not Exceeding
annual direct costs in amount of:

| | |
|--|--------------------|
| DRA or Grant Analyst | \$ 500,000 |
| Sr. Grant Analysts | \$750,000 |
| Contract Officers | \$1,000,000 |
| Sr. Contract and Grant Officers | \$2,000,000 |
| Directors | \$5,000,000 |

Here are the signature authority caps for OCGA Director, Officers and Analysts. Additional time may be needed to obtain an authorized signature. The Delegated Authority Matrix for OCGA and the Office of Intellectual Property is accessible by clicking the “OCGA Signature Authority” hyperlink.

NIH Policy: Proposals 500K or more in Direct Costs (excluding F&A)

PI MUST:

- ☐ Obtain agreement to submit from Institute/ Center staff at least 6 weeks prior to submission for each proposal meeting this criteria
- ☐ If budget is significantly greater than \$500,000 annual direct costs, obtain approval even earlier.
- ☐ Include cover letter identifying program staff member and Institute agreeing to accept proposal
 - Without indication of prior staff concurrence, proposal returned without review

This is an important consideration. Who wants to spend all that time putting a proposal together only to have it returned, unreviewed?

Electronic submission means what?

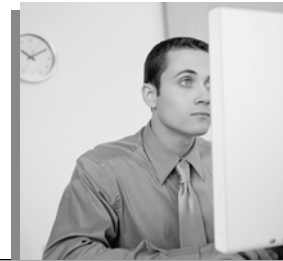
- ☐ Email with proposal attached as word or PDF, followed by paper copies
- ☐ CD of proposal along with paper copies
- ☐ Complete PDF fillable forms and submit through on-line system
- ☐ Complete entire proposal in an on-line system (FastLane/Grants.gov)



Electronic submission means many things, depending on the sponsor. It can be as simple as sending an email of the proposal along with a paper copy, or as complex as completing and submitting an entire proposal in a specialized on-line system.

If submission is via an on-line system...

- ❑ Is use of an on-line system mandatory or optional?
- ❑ Is there more than one system to consider?
 - Grants.gov (via S2S Grants) and NIH Commons
- ❑ Registration requirements fulfilled?
 - Contact OCGA ERA Coordinator: phone: 74814
email: cgilbert@research.ucla.edu
 - UCLA registered?
 - PI registered?
 - OCGA Officer/Analyst registered?



If the proposal is going to be submitted via an on-line system, these are important questions to ask. Is use of the system optional or mandatory? For National Science Foundation proposals, in most cases PIs still have the option to submit via FastLane or Grants.gov. There may be more than one system involved in the submission process. For NIH proposals being submitted electronically, Grants.gov AND the eRA Commons have to be considered. A proposal could be accepted by Grants.gov, but cause errors when it reaches the Commons. Contact Cindy Gilbert, OCGA's ERA Coordinator, if you are not sure if the registration requirements have been fulfilled to use a system.

On-line systems

- ❑ Does OCGA have access to the PI's proposal?
 - If system doesn't allow PI to share proposal, OCGA still must review it prior to PI's submission to sponsor



Some sponsors create on-line systems that preclude central office (OCGA) review prior to submission. In most cases, you may need to send a copy of the proposal to OCGA for review prior to its submission to the sponsor by the PI.

On-line Systems

- ❑ Who “pushes the button” to submit?
 - OCGA?
 - PI? (OCGA still needs to review prior to submission)
- ❑ Can the proposal be submitted sufficiently prior to the deadline date/time to allow for possible interruptions in internet/e-mail service?
 - Completed proposal to OCGA at least **5 working days** prior to proposal deadline (even earlier, if possible)

We can't emphasize strongly enough to get proposals that require electronic submission to OCGA as early as possible prior to the deadline date to allow for system glitches. This technology is a new frontier wrought with unforeseen challenges.

“When is it due?” - Paper Submissions

- ☐ Receipt date? ***OR*** postmark acceptable if mailed on or before the published receipt date ?
- ☐ Is there a time deadline?
 - ☐ “By 5:00 local time” (whose local time? UCLA, Sponsor?)
- ☐ Can it be hand delivered by PI or a PI representative?



Electronic or paper, know when the proposal is due. Not only the date, but the time. For paper submissions, how it can be delivered? In the old days, it wasn't unusual for a PI or PI representative to board a late night flight to Washington DC to hand deliver a proposal. Since 9/11, this is no longer allowable by NIH.

“When is it due?”

- Electronic Submissions

- ☐ Date and time stamped by the system?
- ☐ Time deadline – local, sponsor time?
 - Does the deadline fall outside of UCLA’s normal business hours (e.g., 11:59 p.m. est)?
- ☐ Any grace periods for system glitches or proposal corrections?

Consideration for paper or electronic: What if deadline falls on a holiday? Is deadline extended to next business day?



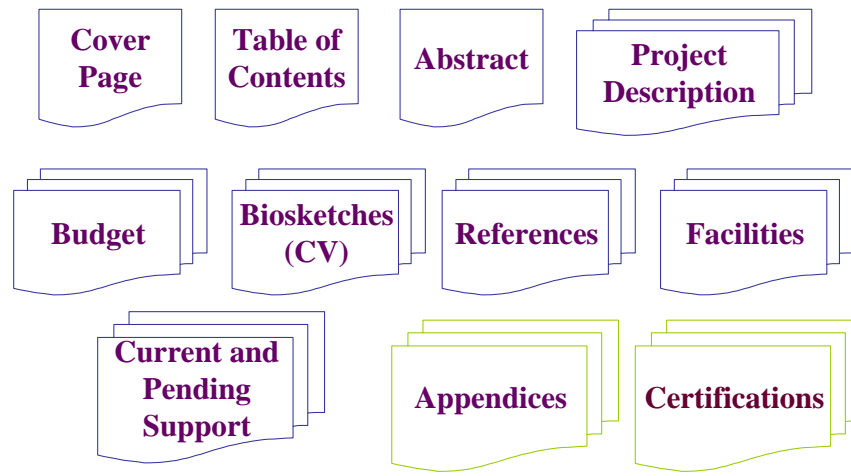
Just recently a proposal was submitted late because the time of day it was due was overlooked. As stated earlier, the time a proposal is due is just as important as the date. Some sponsors do allow a grace period for system glitches or to correct proposal errors after submission. But those grace periods are shrinking...

Just in Time (JIT)

- ❑ Under JIT policy, a proposal may be submitted with animal and human subjects compliance reviews marked "pending"
 - May also apply to other proposal components, i.e. biographical sketch
- ❑ If proposal is likely to be funded, approvals and/or other information required are submitted prior to Sponsor issuing the award
- ❑ Do not wait until sponsor requests these approvals before submitting ARC/IRB paperwork to OPRS!

Just in Time is a great policy, IF, for projects involving humans or animals, one doesn't wait until the sponsor requests approvals before submitting protocols to the Office for the Protection of Research Subjects. Don't do that. It delays the Sponsor's ability to issue an award.

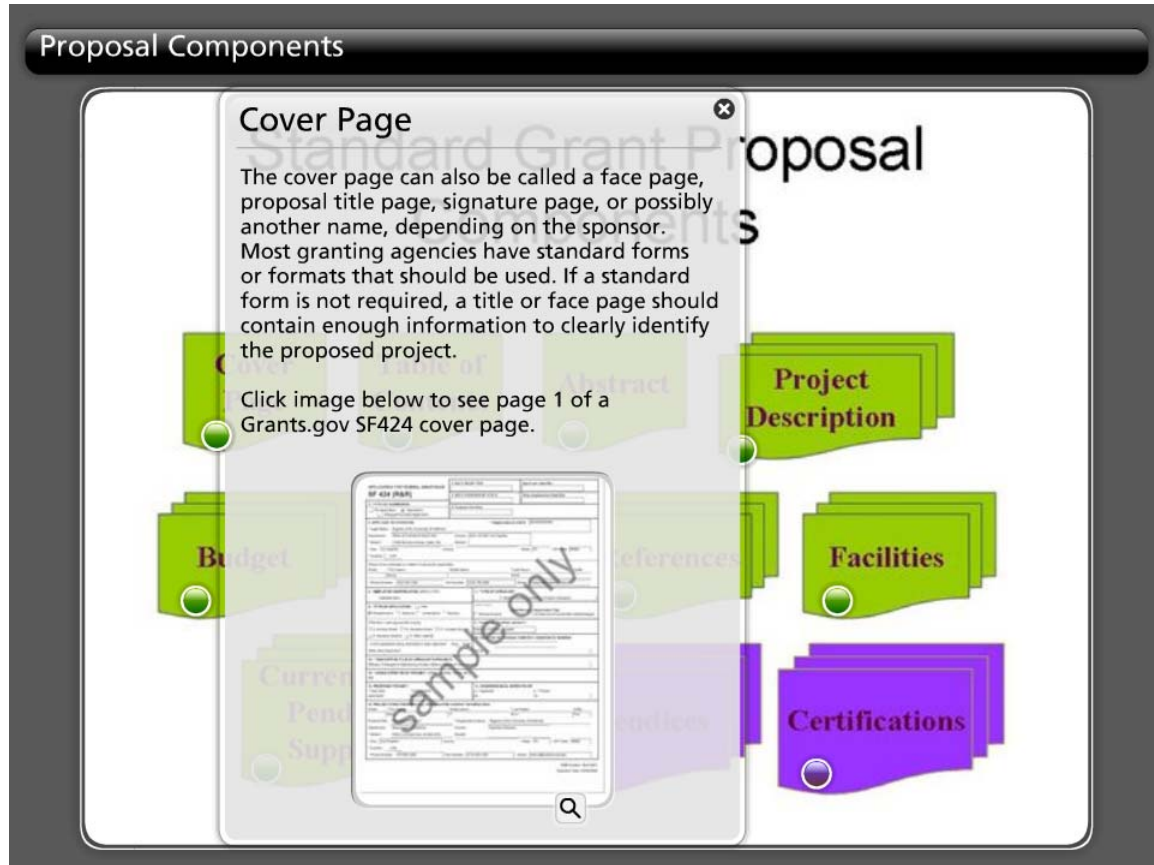
Standard Grant Proposal Components



These are the basic components of a standard grant proposal. Some sponsors require more, others less. This topic was discussed in Course 1, but you have the opportunity to review the components in the upcoming “Proposal Component” mini-module.

Proposal Components

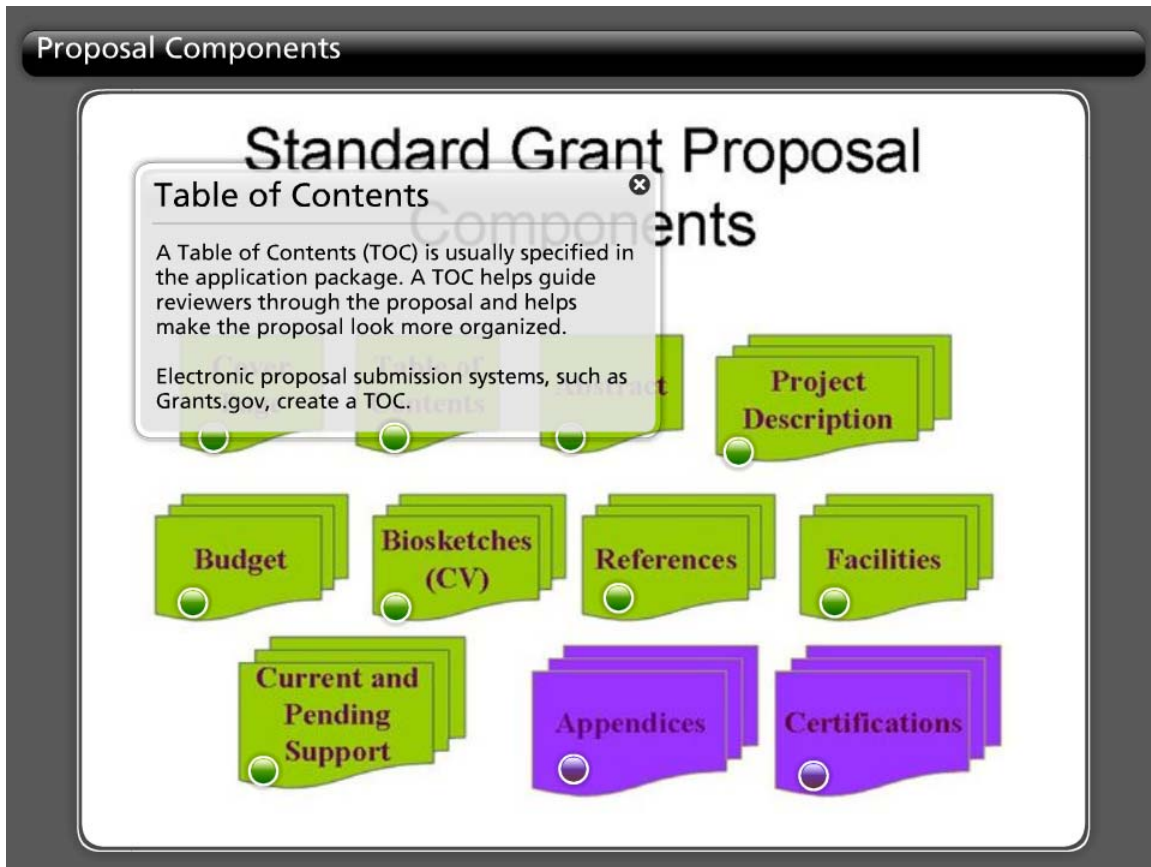
Cover Page



The cover page can also be called a face page, proposal title page, signature page, or possibly another name, depending on the sponsor. Most granting agencies have standard forms or formats that should be used. If a standard form is not required, a title or face page should contain enough information to clearly identify the proposed project.

Click image below to see page 1 of a Grants.gov SF424 cover page.

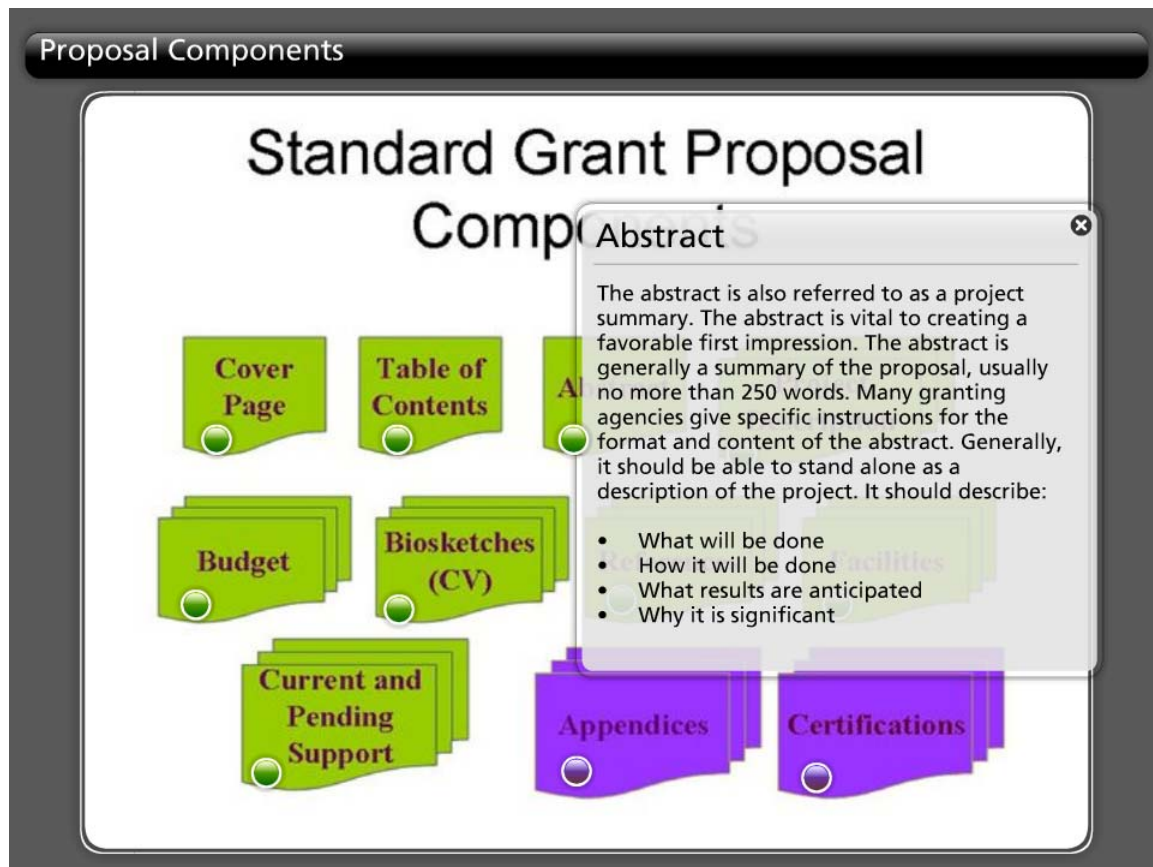
Table of Contents



A Table of Contents (TOC) is usually specified in the application package. A TOC helps guide reviewers through the proposal and helps make the proposal look more organized.

Electronic proposal submission systems, such as Grants.gov, create a TOC.

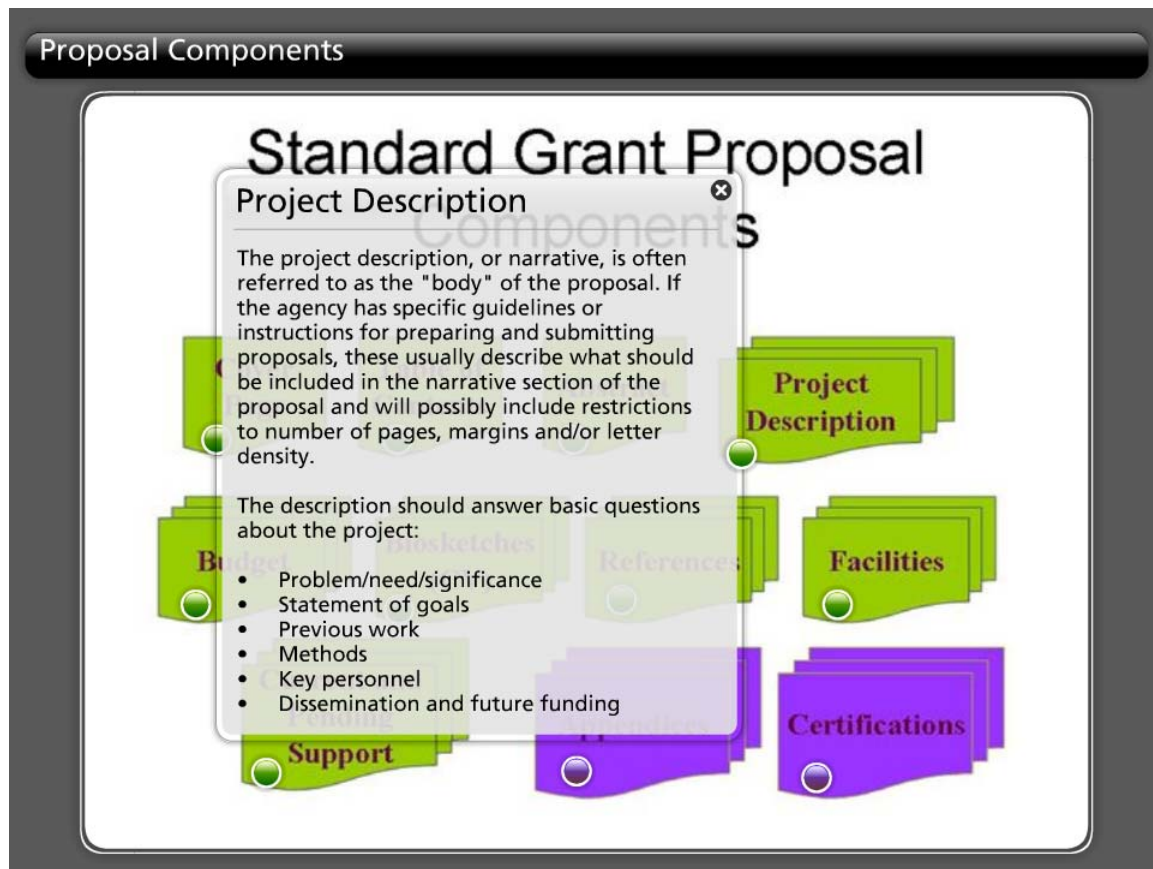
Abstract



The abstract is also referred to as a project summary. The abstract is vital to creating a favorable first impression. The abstract is generally a summary of the proposal, usually no more than 250 words. Many granting agencies give specific instructions for the format and content of the abstract. Generally, it should be able to stand alone as a description of the project. It should describe:

- What will be done
- How it will be done
- What results are anticipated
- Why it is significant

Project Description

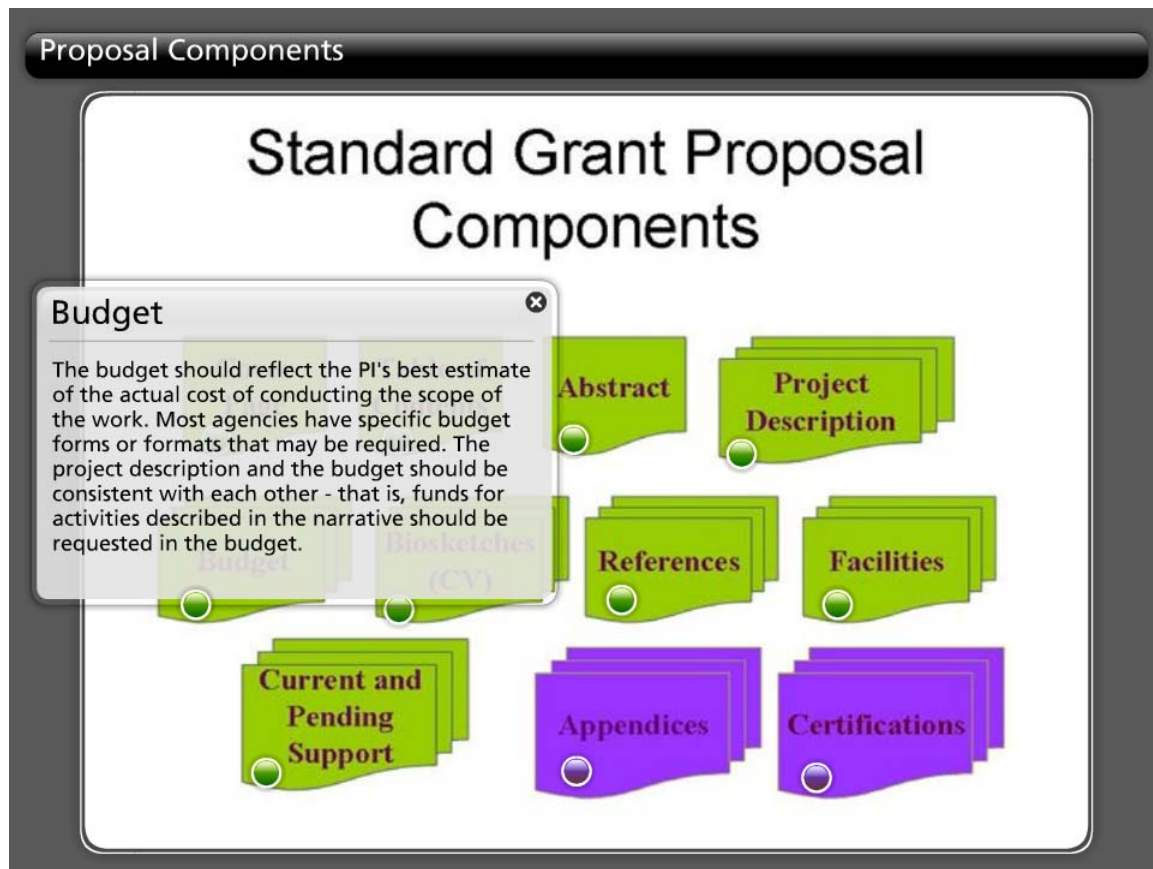


The project description, or narrative, is often referred to as the "body" of the proposal. If the agency has specific guidelines or instructions for preparing and submitting proposals, these usually describe what should be included in the narrative section of the proposal and will possibly include restrictions to number of pages, margins and/or letter density.

The description should answer basic questions about the project:

- Problem/need/significance
- Statement of goals
- Previous work
- Methods
- Key personnel
- Dissemination and future funding

Budget



The budget should reflect the PI's best estimate of the actual cost of conducting the scope of the work. Most agencies have specific budget forms or formats that may be required. The project description and the budget should be consistent with each other - that is, funds for activities described in the narrative should be requested in the budget.

BioSketches

Proposal Components

Standard Grant Proposal

BioSketches

Some proposal guidelines require a specialized format for biographical sketches of key personnel and other important collaborators who will be working on the project. If no requirement is stated, copies of vitae may be included as appendices. Some agencies impose a page limitation for each biographical sketch.

See image below to get an idea of what a biosketch might look like.

The diagram illustrates the components of a standard grant proposal. The components are represented as colored tabs: Cover Page (green), Table of Contents (green), Abstract (green), Project Description (green), Facilities (green), Certifications (purple), Current and Pending Support (green), and Budget (green). A central window displays a sample biosketch form with a 'sample only' watermark. The form includes sections for Personal Information, Professional Information, and a list of publications.

Some proposal guidelines require a specialized format for biographical sketches of key personnel and other important collaborators who will be working on the project. If no requirement is stated, copies of vitae may be included as appendices. Some agencies impose a page limitation for each biographical sketch.

See image below to get an idea of what a biosketch might look like.

References


Proposal Components

Standard Grant Proposal

References

It is recommended that the PI list full references for any citations made in the body of the proposal. Some agency guidelines require specific formats.

See image below to get an idea of what References may look like.



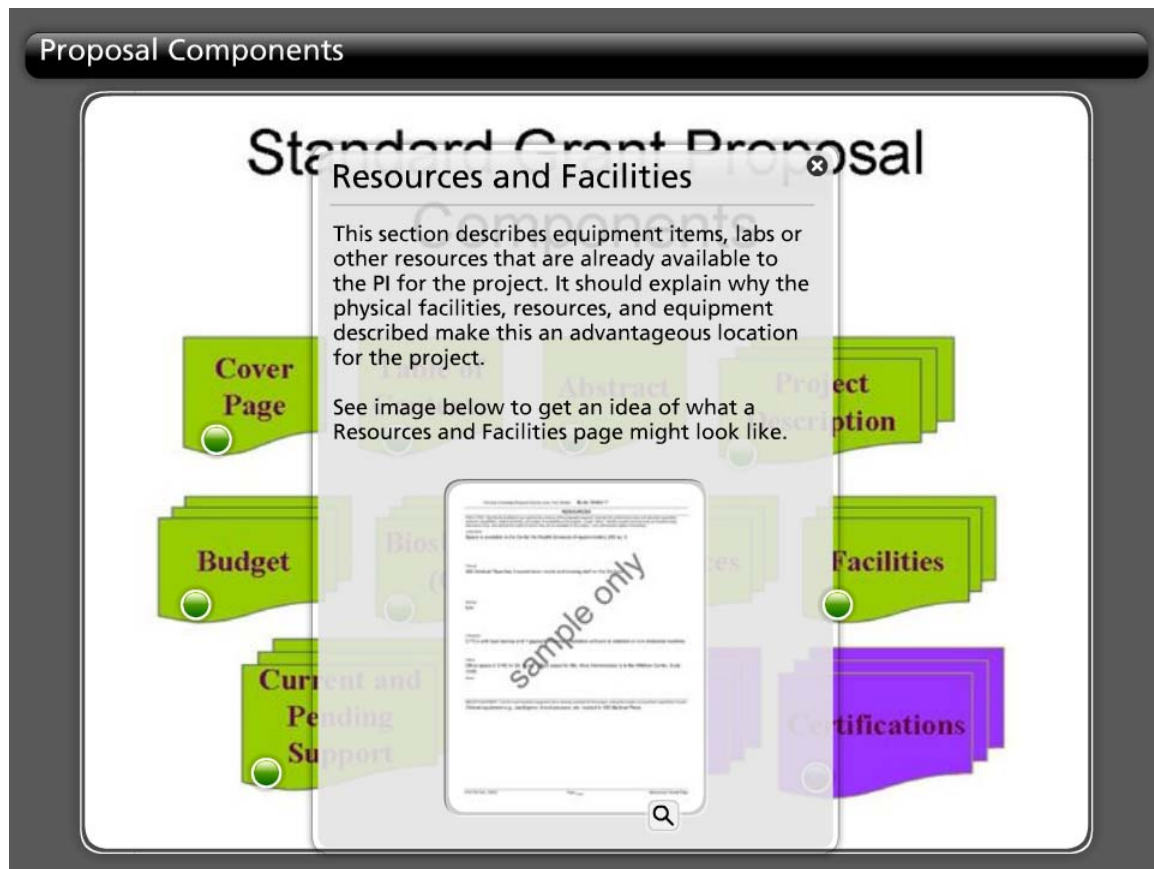
The diagram illustrates the components of a Standard Grant Proposal. A central window displays a sample of references, which are listed in a table. The references include the following information:

| Author | Title | Year |
|------------------|--------------------------------------|------|
| Smith, J. D. | The Science of the Total Environment | 1998 |
| Johnson, A. B. | The Science of the Total Environment | 1999 |
| Williams, C. E. | The Science of the Total Environment | 2000 |
| Miller, D. F. | The Science of the Total Environment | 2001 |
| Wilson, E. H. | The Science of the Total Environment | 2002 |
| Moore, G. I. | The Science of the Total Environment | 2003 |
| Wright, J. K. | The Science of the Total Environment | 2004 |
| Scott, L. M. | The Science of the Total Environment | 2005 |
| Green, N. O. | The Science of the Total Environment | 2006 |
| Brown, P. Q. | The Science of the Total Environment | 2007 |
| Black, R. S. | The Science of the Total Environment | 2008 |
| White, T. U. | The Science of the Total Environment | 2009 |
| Gray, V. W. | The Science of the Total Environment | 2010 |
| King, X. Y. | The Science of the Total Environment | 2011 |
| Lee, Z. A. | The Science of the Total Environment | 2012 |
| Ng, B. C. | The Science of the Total Environment | 2013 |
| Patel, D. E. | The Science of the Total Environment | 2014 |
| Roberts, F. G. | The Science of the Total Environment | 2015 |
| Stewart, H. I. | The Science of the Total Environment | 2016 |
| Thompson, J. L. | The Science of the Total Environment | 2017 |
| Waters, K. M. | The Science of the Total Environment | 2018 |
| Young, L. N. | The Science of the Total Environment | 2019 |
| Zimmerman, M. O. | The Science of the Total Environment | 2020 |

It is recommended that the PI list full references for any citations made in the body of the proposal. Some agency guidelines require specific formats.

See image below to get an idea of what References may look like.

Resources and Facilities



This section describes equipment items, labs or other resources that are already available to the PI for the project. It should explain why the physical facilities, resources, and equipment described make this an advantageous location for the project.

See image below to get an idea of what a Resources and Facilities page might look like.

Current and Pending Support

Proposal Components

Current and Pending Support

Many sponsors require a current listing of pending proposals and funded awards for all key personnel.

It is important that the PI's time does not exceed 100% effort!!! Sponsors are paying attention!

See the image below to get an idea of what a Current and Pending support page might look like.

The diagram illustrates the components of a grant proposal. A central window shows a sample 'CURRENT AND PENDING SUPPORT' page. The page lists several entries, each with a title, investigator, and dates. The entries are:

| Investigator | Title | Start Date | End Date | Source |
|-----------------------|-----------------------|------------|----------|--------|
| Dr. Mark A. Rothstein | Dr. Mark A. Rothstein | 01/01/01 | 12/31/01 | NIH |
| Dr. Mark A. Rothstein | Dr. Mark A. Rothstein | 01/01/01 | 12/31/01 | NIH |
| Dr. Mark A. Rothstein | Dr. Mark A. Rothstein | 01/01/01 | 12/31/01 | NIH |
| Dr. Mark A. Rothstein | Dr. Mark A. Rothstein | 01/01/01 | 12/31/01 | NIH |
| Dr. Mark A. Rothstein | Dr. Mark A. Rothstein | 01/01/01 | 12/31/01 | NIH |
| Dr. Mark A. Rothstein | Dr. Mark A. Rothstein | 01/01/01 | 12/31/01 | NIH |
| Dr. Mark A. Rothstein | Dr. Mark A. Rothstein | 01/01/01 | 12/31/01 | NIH |
| Dr. Mark A. Rothstein | Dr. Mark A. Rothstein | 01/01/01 | 12/31/01 | NIH |
| Dr. Mark A. Rothstein | Dr. Mark A. Rothstein | 01/01/01 | 12/31/01 | NIH |
| Dr. Mark A. Rothstein | Dr. Mark A. Rothstein | 01/01/01 | 12/31/01 | NIH |

Surrounding the central window are icons for other proposal components: Abstract, Project Description, References, Facilities, Appendices, and Certifications.

Many sponsors require a current listing of pending proposals and funded awards for all key personnel.

It is important that the PI's time does not exceed 100% effort!!! Sponsors are paying attention!

See the image below to get an idea of what a Current and Pending support page might look like.

Appendices

Proposal Components

Standard Grant Proposal Components

The diagram shows a central white box titled "Standard Grant Proposal Components" containing a collection of green and purple folder-like icons representing proposal sections. The icons are arranged in a grid-like fashion. A semi-transparent white callout box with a close button (X) is positioned over the center of the diagram, specifically over the "Appendices" icon. The callout box contains the following text:

Appendices

It is important to ascertain if a sponsor allows appendices to be submitted with the proposal. Some agencies (The National Science Foundation, for example) restrict the submission of appendices, or have specific guidelines for inclusion with a proposal. Some agencies restrict the types and/or numbers of items that may be included. Failure to follow instructions may result in an agency discarding the information entirely.

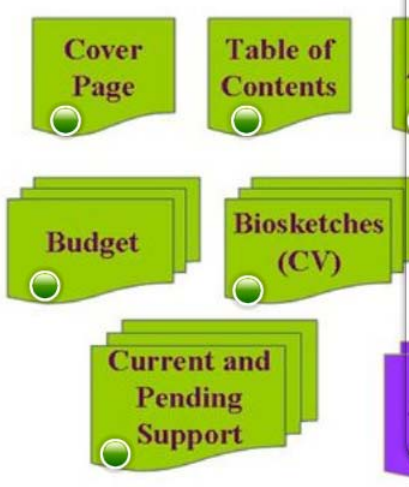
The icons visible in the background include: Cover Page, Table of Contents, Abstract, Project Description, Budget, Facilities, Current Personnel, and Supplemental Materials.

It is important to ascertain if a sponsor allows appendices to be submitted with the proposal. Some agencies (The National Science Foundation, for example) restrict the submission of appendices, or have specific guidelines for inclusion with a proposal. Some agencies restrict the types and/or numbers of items that may be included. Failure to follow instructions may result in an agency discarding the information entirely.

Representations and Certifications

Proposal Components

Standard Grant Proposal Components



The diagram shows six green folder-like icons representing proposal components: 'Cover Page', 'Table of Contents', 'Budget', 'Biosketches (CV)', 'Current and Pending Support', and 'Representations and Certifications'. The 'Representations and Certifications' icon is highlighted with a callout box.

Representations and Certifications

Some Federal sponsors require that applicants provide assurances, or sign certifications of compliance with a variety of Federal policies, whether or not they are applicable to the proposed project. Examples include regulations regarding civil rights, lobbying, drug-free workplace, debarment and suspension, procurement integrity, and others. Certifications are also required for conflict of interest and, under the Pro Children Act of 1994, verification that smoking is prohibited in buildings where services are provided to children under 18.

All assurances must be certified by an authorized individual, such as the Analyst or Officer in OCGA, or the DRA.

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All assurances must be certified by an authorized individual, such as the Analyst or Officer in OCGA, or the DRA.

Jump Starts

What can one do while PI is working on the technical aspects of the proposal?



Plenty!

Lets take a look at some jump starts. NO need to wait until the PI has completed his or her part for you to begin yours.

Jump Start –Internal approvals

(See if you can get title of proposal from PI early)

- ☐ Goldenrod
- ☐ Top portion of COI (700/740) forms
 - Do NOT answer questions on COI forms!
- ☐ If human subjects - HSPC training certificates for all key personnel
- ☐ PI exception memo, if needed
- ☐ PI signature form (NIH)
- ☐ Hazardous materials or Stem Cell review/approval
- ☐ Draft budget and budget justification (even if modular)

You can start on these items and obtain necessary signatures early so that they can be submitted to OCGA when the proposal is complete. Don't forget to give OCGA a jump start by providing information regarding the proposal.

Jump Start – Sponsor Forms

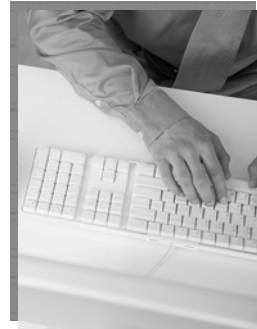
- ☐ Face Page
- ☐ Biosketches
 - Obtain updated biosketches for all key personnel/consultants/other significant contributors
- ☐ Current/pending support
- ☐ Facilities statement



These are examples of sponsor forms that require information that doesn't change much from sponsor to sponsor, except in format.

Jump Start-Subawards

- ❑ Contact name/numbers/email for any subrecipients
- ❑ Contact the subrecipient early to get them started on their mini proposal packet:
 - Budget and budget justification
 - Scope of Work
 - Other sponsor documents as required
 - Institutional endorsement
 - A transmittal letter
 - The sponsor cover page
 - [The Subaward Commitment form](#)



Contact the subrecipient early to get them started on their mini proposal packet.

The institutional endorsement may be provided in various forms ... a transmittal letter which accompanies the mini-proposal and provides details about the institution's legal name, mailing address, administrative point-of-contact, PI information for both institution's, etc.; the prime sponsor cover page with the subaward institution's information filled in, or UCLA's subrecipient commitment form (provide link). Regardless of the form which the institutional endorsement takes, it must be signed by an individual who is authorized to commit the institution AND received by OCGA prior to submission of UCLA's proposal. For NIH proposals, it is important to note that NIH no longer requires the subrecipient commitment letter in proposals.

Ms. Raellen Man has shared the NIH proposal subrecipient checklist her fund managers use in the Department of Medicine. It is in the resources tab. You may wish to adopt a similar checklist for your department.

Let's Recap

- ❑ Sponsored research is funded in response to a proposal. A proposal describes the work to be done and provides an estimate of the costs to perform the work.
- ❑ When a PI announces s/he is preparing a proposal, there are several questions to ask.
 - The answers will help determine the size and complexity of the proposal, and which central office will handle it.

Not narrated

Lets recap. These slides are not narrated.

Let's Recap

- ❑ What is the proposal purpose? Is it for basic, applied or developmental research? Is it for training, a public service program, or other sponsored activities?
- ❑ Who is the sponsor? Federal, State or local government, non-profit or for-profit?
- ❑ What type of proposal is being submitted? (new, renewal, progress report, etc.)
- ❑ What type of award is anticipated? Grant, Contract? Cooperative Agreement?

Not narrated

Let's Recap

- ❑ Take proposal guidelines seriously, and provide OCGA a link to them ASAP
- ❑ Some proposals, by their size and/or nature, take more time. Plan ahead
- ❑ If a proposal is being submitted on-line, make sure all registration requirements have been fulfilled

Not narrated

Let's Recap

- ❑ Electronic proposal submission means it is most likely going to take MORE time, not less, to submit a proposal
- ❑ OCGA recommends that proposals being submitted electronically be given to OCGA as many days prior to the deadline as possible
 - This allows time for proposal and/or system errors and glitches

Not narrated

Let's Recap

- ❑ Know who “pushes the button” and WHEN the button needs to be pushed for a proposal to be considered “on time”
 - Date and time of day
- ❑ If PI “pushes the button”, OCGA still needs to review the proposal prior to submission

Not narrated

Let's Recap

- ❑ There are many components to a proposal
- ❑ Many components can be worked on while PI is working on the science
- ❑ Some components don't need to be submitted until proposal may be funded (JIT policy)

Not narrated

Let's Recap

- ❑ There are many internal approvals that accompany the submission of proposals, such as the Goldenrod, Conflict of Interest forms (when applicable), etc.
- ❑ Proposals exceeding 500K direct costs in any one year usually require additional administrative steps
- ❑ Whenever possible, start early and be proactive

Not narrated



This concludes Module 1,
Proposal Basics

Module 2 covers
Budget Basics

[Return to list of modules](#)



This concludes Module 1, Proposal Basics. For your convenience, there are prints of this slideshow and of all the mini-modules in the “resources” tab. If you happen to receive a warning while opening any of the resources, simply click the “other options” link and save the file to your computer. Module 2 covers budget basics. I’ll catch up with you there.