

# Preparation, Review and Submission of Sponsored Project Proposals

Presented by

Julie Macy

Team Lead, Proposal Submission  
and Award Administration



The University of Vermont

# SPA EDU Offerings

Course Name	PS Course	Facilitators	Scheduled Dates
SPA Seminar: Introduction to Sponsored Project Administration	POL012	Sonya Stern, Julie Macy, Emily Trantum, Linda Serrantonio and Lana Metayer	09/19/18 and 01/10/19
SPA Seminar: Essential Regulatory Compliance in Sponsored Project Administration	POL018	Marcy Whittle and Sonya Stern	09/27/18
SPA Seminar: PeopleSoft Tools and Best Practices for Financial Management of Sponsored Projects	CPT075	Linda Serrantonio and Lana Metayer	10/10/2018 and 04/17/2019
→ SPA Seminar: Preparation, Review and Submission of Sponsored Project Proposals	POL019	Julie Macy	10/23/2018
SPA Seminar: Award Acceptance for Sponsored Agreements. Establishment of Advance Accounts.	POL020	Emily Trantum	11/13/2018
SPA Seminar: Outgoing Subawards	POL010	Molly Epstein and Linda Serrantonio	12/11/2018
SPA Seminar: Cost Transfers on Sponsored Projects	POL021	Linda Serrantonio and Dawn Caffrey	02/13/2019
SPA Seminar: Cost Sharing on Sponsored Projects	POL022	Julie Macy and Linda Serrantonio	03/19/2019
SPA Seminar: Carrying Forward of Funds From One Year to Another and No Cost Extensions on Sponsored Projects	POL023	Linda Serrantonio and Julie Macy	04/10/2019
SPA Seminar: Sponsored Project Financial Reporting and Closeout	POL024	Linda Serrantonio	05/09/2019
The History of IRB, IACUC and IBC Intuitional Review Boards		Melanie Rocher	02/14/2019
Export Control Regulation in the Context of Sponsored Research		Victoria Jones	TBD
Financial Conflict of Interest on Sponsored Research		Victoria Jones	TBD

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# Agenda

- Welcome and introductions
- Purpose of the presentation
- Essential of Proposal Process
- Discussion
- Educational resources available

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# Purpose of the Presentation

- Understanding How to Successfully Submit Proposals at UVM
- Overall Objectives: Provide participants with an overview of the proposal preparation, review and submission processes.
  - Learn how to start a proposal
  - What goes into the review of a proposal
  - How to submit a proposal
  - Resources

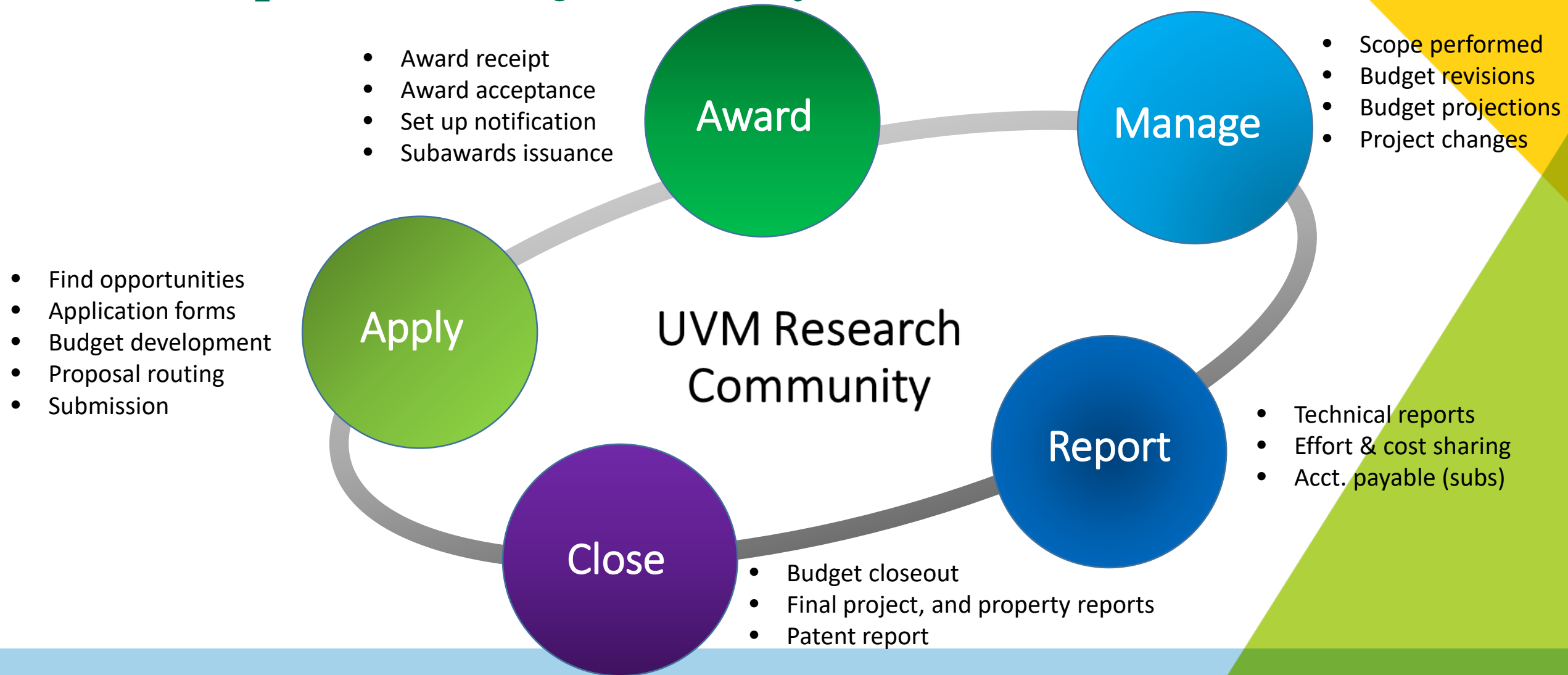
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# Essentials that Every PI and RA Should Know

- Research is central to the core mission
- PIs are central to the design, conduct and reporting of research
- PI is responsible for all aspects of research conducted on behalf of the institution
  - Including compliance with institutional policies and terms/conditions of a award
- Scientific and administrative leaders are committed to assist PIs with this responsibility.
- Today we will discuss proposal process

# UVM Sponsored Project Life Cycle



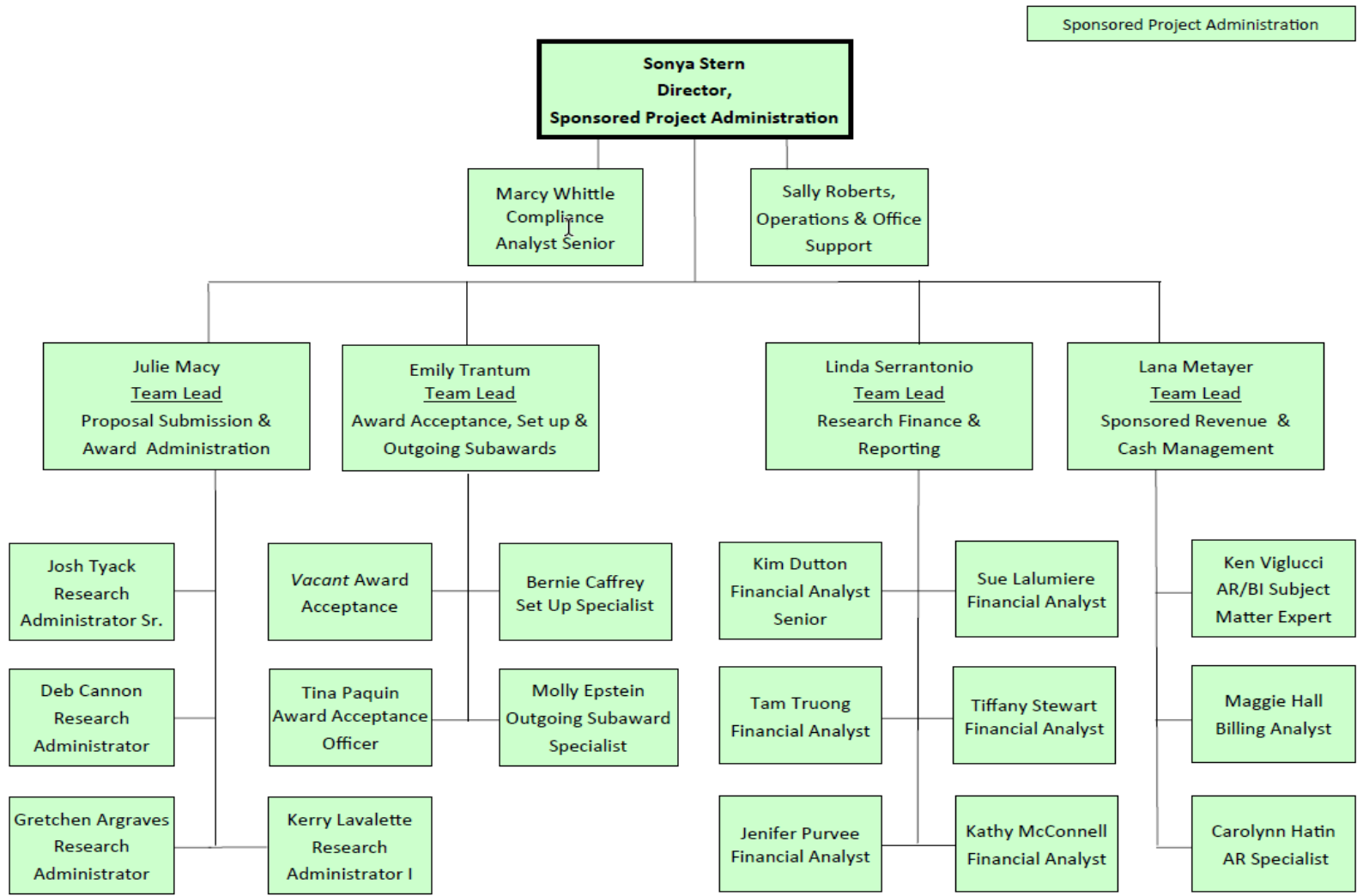
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# UVM Research Community

- **300+** Active Principal Investigators (PIs)
- **100+** Departments with Sponsored Projects from **300+** Sponsors
- **\$130M+** annual volume of awards on **700+/-** award actions
- **300+** subawards issued annually
- Office of Vice President for Research
- Many supporting departments

# UVM Sponsored Project Administration Organization





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# Fundamentals

## Whose grant is this?

- Awards are made to the institution

## Who gets to call the shots?

- PIs and administrators form a partnership
- PIs direct the science
- Administrators manage the business processes and compliance functions that support research

## Who answers to whom?

- Science without administration would not receive grant funding
- Administrators without science would not receive grant funding

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# Individual Roles and Common Goals in Pre-Award

## Central Office (SPA)

- Facilitates the submission of proposals and the review and negotiation of sponsored research agreements and houses the signatory officials for sponsored projects at the University

## Department Administrators (a.k.a. Business Unit Administrators)

- Serve the faculty on a more individual and personal level and act as a liaison between the faculty and the central office

## Common Goal

- Is to provide a full range of assistance to faculty in obtaining and administering funding to support creative and scholarly activities

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# Proposal Fundamentals

What are we being funded to do?

- Purposes – Research, Public Service or Instruction

How are we being funded?

- Gift, Grant, Contract, Cooperative Agreement, Subaward

Who is funding our Sponsored Projects?

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# Who is Funding the Research?

Federal

Non-federal

- Scientific, non-scientific and private foundations
- Associations
- Corporate
- Industry
- State, local and other governmental
- Other institutions

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# Find Funding

- Search Tools
  - PIVOT
  - Other - InfoEd SPIN (**S**ponsored **P**rograms **I**nformation **N**etwork)
- Alert services
  - PIVOT Alerts
  - InfoEd SMARTS
  - Federal Sites Examples: NIH Guide for Grants and Contracts, National Science Foundation Update, Grants.gov
- Types of Announcements solicited vs. unsolicited proposals
  - Funding opportunity announcements – FOA
  - Program Announcements – PA (funding opportunities particularly used by federal sponsors)
  - Request of Applications RFA
  - Request for Proposals - RFP
  - Request for Information – RFI
  - Request for Quote – RFQ
  - Broad Agency Announcements – BAA

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## Find Funding (continued)

- Oversight of Limited Competitions
- Promotion of Internal Sources of Funding (Campus-wide and Unit specific)
- Grant proposal writing resources

### Resources:

- SPA provides individualized services to UVM faculty, staff, and students in their search for funding opportunities
- Contact Hilda Alajajian at 6-1322 to schedule an appointment
- Find Funding Link: <https://www.uvm.edu/spa/sponsored-project-lifecycle/find-funding>
- Write Proposal Link: <https://www.uvm.edu/spa/online-resources-proposal-writing>
- Internal Sources: <https://www.uvm.edu/spa/sponsored-project-lifecycle/find-funding>

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# What Do Sponsors Want?

- A strong history of results from both the institution and the researcher
- That the resources needed to conduct research are available at the institution or that they have been included in the budget
- That the research or program idea or method is innovative
- That the research idea or proposed program will provide new understandings of or benefits to the community
- A reasonable return on their investment in terms of the scale of potential impact
- Direct link between the research project and their mission

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# Proposal Development

- Proposal Guidelines
  - ✓ Areas of scrutiny
- Application Forms
- Budget Development
- Approval/Submission
- UVM Roles and Responsibilities
- Best Practices/Potential Pitfalls
- Timeline After Submission



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# Guidelines

- Rules that govern the proposal submission:
  - General Guidelines
  - Specific Guidelines
- Application Sections:
  - Business/Administrative Section
  - Research Plan

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# Reading and Understanding the Guidelines

- Date/time of proposal application deadline, is it achievable
- Information/Documents that must be included in proposal/application
- Amount of money that can be requested/budget limits
- Structure of application
- Review and Notification Process
- Contact Information if you have questions
- Read Restrictions and limitation on who can apply, status or career stage, citizenship

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## Read the Entire Set of Guidelines

- Is there a required pre-application or letter of intent, what is required?
- Is there a required review (internal or external) in advance of deadline that could impact submission?
- Is your faculty member eligible to receive this funding?
- Is your faculty member proposing to spend enough time/effort on the project?

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## Read the Entire Set of Guidelines (continued)

- Is this a limited competition? Has the Institution vetted it for submission?
- Is your institution eligible/appropriate entity to receive funding?
- Is there match/cost share involved, where is it coming from, does it meet sponsor's expectations?
- Is it likely that the sponsor may change the guidelines before submission? Have you signed up for notifications?
- How does the application get submitted?

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## Top Areas of Scrutiny

- Budget, Budget Justification/Budget Narrative
- Qualifications and Credentials of Research/Project Team
- Environment in which the Research takes place
- Formatting of the Proposal/Application – Did you follow the Guidelines?

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# Application/Forms

- What may be needed for submission
  - Cover sheet
  - Biosketch, resume, CV
  - Letters from Chairs or Deans
  - Institutional letter
  - Subrecipient form
  - Etc.

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# Budget Development

- Cost Considerations
  - Put all relevant costs down and all ?'s
    - ✓ Is this a direct cost or an indirect cost
    - ✓ UG Federal Compliance rules are is this allowable, allocable, reasonable and consistently applied
    - ✓ UVM Policies (Cost Policy, Travel, etc.)

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# Budget Development (continued)

- Direct Costs
  - Personnel, Fringe, Graduate Students, Temporary Employees
  - Equipment, Domestic/**Foreign** Travel, **Participant Support**
  - Materials, **Supplies**, Animal Costs, Publication Costs, Consultant Services, Research Patient Care Costs, **Tuition, IRB Fees**
  - Subawards/Consortium Costs



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# Sections

- Business/Administrative Section
  - Forms that must be completed
  - Budget and Budget Justification
  - Institution's ability to conduct the project
  - Other business-related or compliance documents
- Research Plan
- Bibliography
- Biosketch/Resume/CV
- Justification of use of Human Subjects or Live Vertebrate Animals

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# Approval and Submission Processes

- Internal UVM Approval Process
  - InfoEd (UVMClick is coming!)
  - RA reviews for compliance with sponsor and UVM policies
- Submission to the Sponsor
  - InfoEd (grants.gov opportunities)
  - Other depending on sponsor requirements

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# Roles and Responsibilities: Principal Investigator (PI)

## Preparing a Submission-Ready Proposal

- The PI has overall responsibility for delivering a submission-ready proposal to SPA at least two business days in advance of the sponsor deadline.

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## Roles and Responsibilities: PI (continued)

When is a proposal considered submission-ready?

- Complete
- Accurate
- Compliant with all sponsor guidelines and UVM policies
- Routed for internal approval

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## Roles and Responsibilities: PI (continued)

- The PI coordinates the proposal preparation process in communication with department staff and SPA Research Administrator
- The PI may delegate components of process to a team that includes designated department or college support staff
- Provides copy of proposal guidelines to proposal team, department administrator, and SPA well in advance of the deadline to allow for appropriate review

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# Roles and Responsibilities: PI (continued)

**The PI is responsible for the complete proposal, including:**

- Scope of work
- Budget and budget narrative
- Compliance requirements (human subjects, animals, biohazards, FCOI)
- Initiating proposal approval process in InfoEd
- Adhering to internal deadlines
- Communication with Department Administrators and SPA

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# Roles and Responsibilities: Department/Unit Administration (UA)

## Proposal Preparation:

- Overall responsibility is to coordinate with college and assign department staff to assist PI with preparing a submission-ready proposal
- Coordinates with PI to communicate and escalate proposal development questions and concerns well in advance of proposal deadline to allow time for appropriate University offices to respond

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# Roles and Responsibilities: UA (continued)

## Coordinates with PI to prepare proposal, including:

- Properly formatting scope of work and other proposal documents according to sponsor guidelines
- Developing realistic budget and budget narrative in compliance with sponsor guidelines and UVM policy
- Ensuring accurate salary, fringe and effort information
- Addressing compliance requirements (IRB, IACUC, IBC, FCOI)
- Assisting with proposal routing process
- Adhering to internal deadlines
- Communicating with PI and SPA



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# Roles and Responsibilities: College Administration (CA)

## Proposal Preparation:

- The College Administration (Department Chair and Dean) are responsible for providing direction, resources, and oversight to ensure PIs have adequate support to prepare, review, and submit their best possible proposal.
- Along with the PI and SPA Research Administrator, College administrators are responsible for reviewing and approving proposals for submission to the sponsor. This review typically includes elements shown on the next slide.

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## Roles and Responsibilities: CA (continued)

- Accuracy of budget elements, including:
  - ✓ Institutional Base Salaries
  - ✓ Allowability of Costs
  - ✓ F&A Rate
  
- Cost Share, F&A, Facilities and PI Eligibility:
  - ✓ Proposed cost sharing is accurate and documented
  - ✓ Proposed deviations from standard F&A distribution formula are acceptable to the department
  - ✓ Facilities and Resources included in the proposal are available for the project
  - ✓ Principal Investigator and other project personnel are eligible, qualified and available to commit the proposed effort.

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# Roles and Responsibilities: Sponsored Project Administration (SPA)

## Proposal Preparation, Review, Submission

- SPA will review on-time proposals (**submitted to SPA two full business days ahead of the submission deadline**) prior to submission to confirm they are compliant with sponsor guidelines and applicable federal and university policies.
- Proposal considered late if it arrives in SPA less than 2 Days before Deadline. SPA will Make Every Attempt to Meet Submission Deadline but a review may not be possible.

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# Roles and Responsibilities: SPA (continued)

## Review Proposal Requirements to ensure that:

- Proposal contains complete and correct administrative data
- Proposal includes all required components and excludes materials not permitted
- Proposal adheres to sponsor formats and rules regarding page limits and content requirements
- Proposal includes required representations, certifications, and other institutional forms, modified as necessary

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# Roles and Responsibilities: SPA (continued)

## Review Budget to ensure that:

- Budget follows University and sponsor regulations regarding allowable costs
- Budget includes correct F&A rate
- Budget meets sponsor cost sharing requirements and department approvals are on file
- Budget uses correct cost categories to describe project costs
- Budget narrative/justification includes adequate detail to justify costs
- Subrecipient budget is correct and adheres to sponsor requirements

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# Roles and Responsibilities: SPA (continued)

## Review Compliance to ensure that:

- Confirm proper disclosure of compliance factors:
  - ✓ FCOI
  - ✓ Human subjects
  - ✓ Animals
  - ✓ Biological hazards
- Confirm all subrecipient information is on file and addresses required compliance disclosures

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# Roles and Responsibilities: SPA (continued)

## Review Submission Requirements to ensure that:

- Confirm all proposal approvals are on file
- Review non-negotiable terms and, prior to submission, obtain necessary institutional approvals to accept
- If necessary, exception letters generated to negotiate terms at time of proposal

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# Best Practice for Successful Proposal Submission

- 6 Weeks or More
  - ✓ Start InfoEd record
  - ✓ Send sponsor guidelines
  - ✓ Preliminary Budget to your Research Administrator
- 5 to 2 Weeks Ahead of Deadline
  - ✓ Finalize budget
  - ✓ Communicate with subrecipients
  - ✓ Check off compliance requirements



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# Best Practice for Successful Proposal Submission

- One week ahead of deadline
  - ✓ Internally route proposal for approvals
- 2 Full days before deadline
  - ✓ Expect SPA RA to provide feedback, fixes may be required before submission
  - ✓ Communication the day of submission is key

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# Complexity to Proposals – ADD TIME FOR SPA REVIEW!

- Subawards
- Multiple project budgets or components
- International collaborations
- International sponsors

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# Potential Pitfalls

- Not checking the package is complete
- Not checking budget math
- Not making sure proposal is clear and is in line with Sponsor's goals
- Not starting early
- Not getting the most essential information first and lock it In
- Not staying in touch with the PI

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# Timeline After Submission

- Obtain Sponsor's Receipt of Application
- Administrative Review by the Sponsor
- Opportunity for Revision
- Formal Review Committee or Peer Review
- High-Level Sponsor Review/Council Review
- Revision Based on Proposed Funding
- Potential Negotiations
- Compliance Checks
- Grant Awarded or Contract Signed

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# Resources for Answering Questions

- Sponsor Guidelines
- SPA Procedures: [https://www.uvm.edu/uvmweb/sponsored\\_programs/spa-procedures](https://www.uvm.edu/uvmweb/sponsored_programs/spa-procedures)
- SPA Budget Category Descriptions: <https://www.uvm.edu/spa/prepare-budget-development>
- SPA Research Administrators: <https://www.uvm.edu/spa/departmental-assignments>
- Department Administrators/Department Administrative Officials/Peers
- OVPR: <https://www.uvm.edu/ovpr/grant-proposal-manager-services>
- Library for Data Management: <http://researchguides.uvm.edu/datamanagement/home>
- Uniform Guidance: <https://www.ecfr.gov/cgi-bin/text-idx?SID=704835d27377ef5213a51c149de40cab&node=2:1.1.2.2.1&rgn=div5>
- UVM Policies: [http://www.uvm.edu/policies/?Page=cats.php&cat=Re&SM=cat\\_menu.php](http://www.uvm.edu/policies/?Page=cats.php&cat=Re&SM=cat_menu.php)

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# **Audience participation: Other Important Topics**



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# Educational Resources Available - NCURA

**The National Council of University Research Administrators (NCURA)** strives to make advances in the field of research administration through professional development, the sharing of knowledge, and by fostering a sense of community via multiple venues:

<https://onlinelearning.ncura.edu/> Tutorials, on-line publications, magazine, industry news are available to NCURA members

<http://www.ncura.edu/travelingworkshops/Home.aspx> These workshops are taught by experienced leaders in the areas of compliance, department research administration, global research management, post-award administration and pre-award administration; the expertise depends on the workshop.

<https://onlinelearning.ncura.edu/free-resources> Education available to the public at no cost, NCURA membership is not required

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# Educational Resources Available - RACC

**Research Administrators Certification Council (RACC)** is an independent non-profit organization composed of active certified research administrators whose role is to certify that an individual, through experience and testing, has the fundamental knowledge necessary to be a professional research or sponsored programs administrator.

<http://www.cra-cert.org/>



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# Educational Resources Available – Federal

**Federal Demonstration Partnership (FDP)** is a cooperative initiative among 10 federal agencies and 154 institutional recipients of federal funds and is a program convened by the Government-University-Industry Research Roundtable of the National Academies. Its purpose is to reduce the administrative burdens associated with research grants and contracts. Many institutions utilize FDP's templates, including one for outgoing subawards <http://thefdp.org/default/subaward-forms/>

**National Institute of Health** publishes YouTube videos which cover all sorts of information relevant to NIH grants <https://www.youtube.com/user/nihgrants>

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# Educational Resources Available - Other

Some universities have developed educational videos on various aspects of sponsored research administration, which they make accessible to the public. **Vanderbilt University** offers a “Getting Started in Sponsored Research” series of webinars at no cost. <http://www.vanderbiltlinkages.org/gssr-1/>