

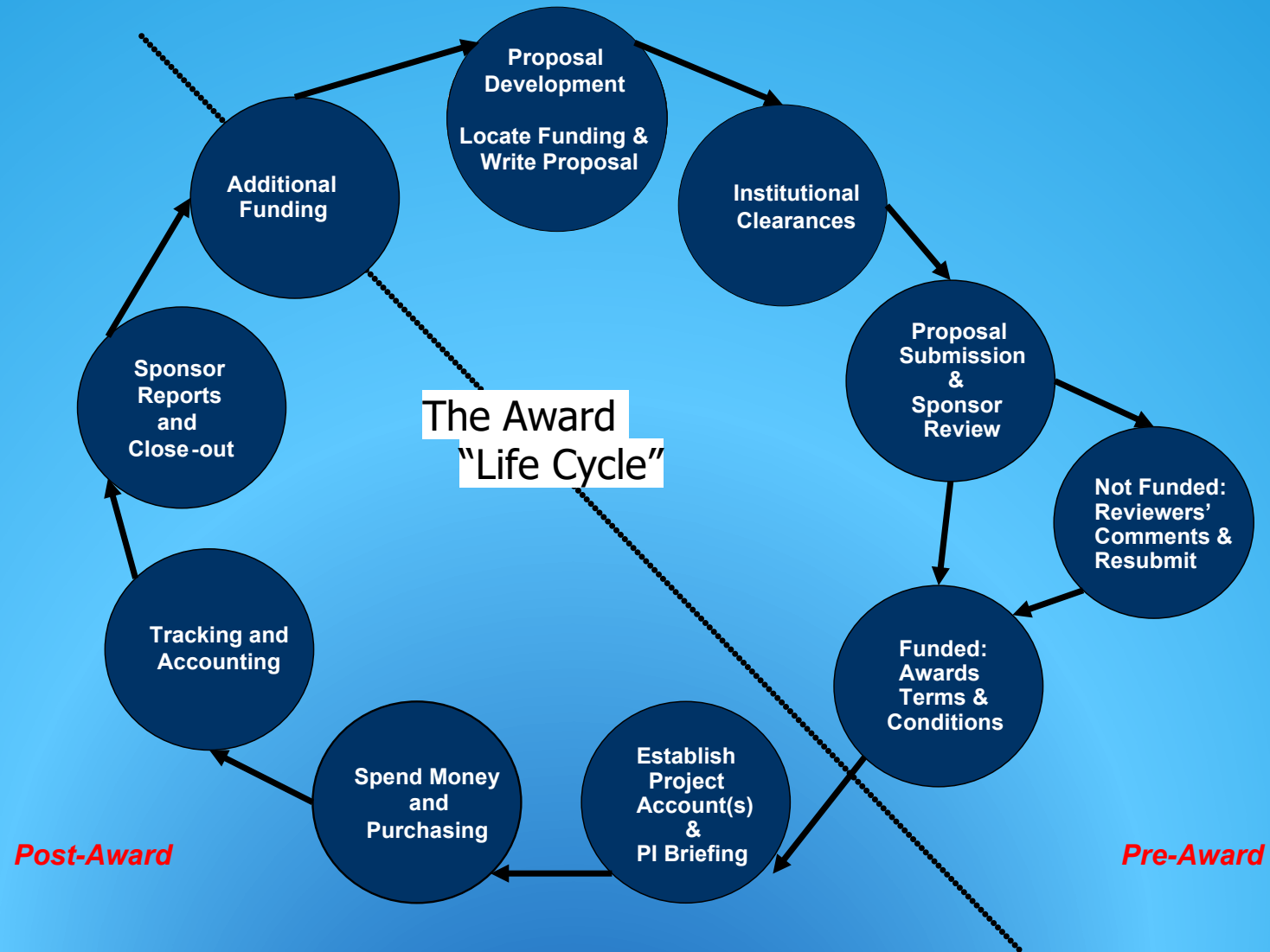
This session will *not* be recorded, but this PowerPoint can be found

<https://medschool.ucla.edu/research/researcher-resources/administrative-support/department-medicine-office-research-administration/fund-management-training>

Pre-Award Basics

UCLA DEPARTMENT OF MEDICINE
OFFICE OF RESEARCH ADMINISTRATION
ZOOM TRAINING

Award Life Cycle



Different Funding Sources: Grants/ Cooperative Agreements, Contracts, & Clinical Trials

LEAGUES/CONFERENCES

Grants & Cooperative Agreements

- A grant is a type of financial assistance awarded to an organization for the conduct of research or other program as specified in an approved proposal. For an award to be considered a grant, it will contain the following elements:
 - Statement of work [allows the PI significant freedom](#) to change the emphasis within the general area of work as the project progresses
 - Deliverables are minimal, consisting typically of reports
 - Separate accounting procedures are required
 - Grants most often use the [cost-reimbursement](#) method of payment
- A cooperative agreement is a type of grant that provides substantial involvement between the sponsor and awardee in carrying out the activity contemplated by the award.

Contracts

- A contract is an agreement to acquire services that primarily benefit the sponsor. 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, by their nature, are restrictive, meaning there is little flexibility on the part of the academic department to rebudget funds without prior sponsor approval. Invoicing on contracts can be more complex, especially if tied in with milestones or tasks that must be completed by the PI before an invoice can be submitted and/or paid.

Clinical Trials

- The controlled, clinical testing in human subjects of investigational new drugs, devices, treatments, or diagnostics, to assess their safety, efficacy, benefits, costs, adverse reactions, and/or outcomes. Such studies may be conducted under an industry-developed protocol or an investigator-developed protocol.
- ****If you're interested in learning more about clinical trials (CT), feel free to join our CT specific training series that starts early August after these sessions end.****

UCLA Central Pre-Award Offices

PLAYERS

UCLA Central Pre-Award Offices

- NON-PROFIT SPONSOR  Office of Contract & Grant Administration (OCGA)
 - Grants & Cooperative Agreements – OCGA Analyst
 - Contracts – OCGA Officer
 - Clinical Trials – OCGA Analyst or Officer
 - Grants.gov Grants/S2S \leq \$500K DC/year – DOM DRA (*DOM only*)
 - Hint/Tip: Sponsors with .gov or .org websites
- FOR-PROFIT/INDUSTRY SPONSOR  TDG or CTC&SR
 - Research Contracts & Grants (excluding Clinical Trials) – Technology Development Group (TDG)
 - Clinical Trials only – Clinical Trials Contracts & Strategic Relations (CTC&SR)
 - Hint/Tip: Generally sponsors with .com websites

Pre-Award Office Matrix

Sponsors Types	Contracts	Grants Cooperative Agreements	Clinical Trials
Non-Profit	OCGA / DOM DRA*	OCGA / DOM DRA*	OCGA
For-Profit/Industry	TDG	TDG	CTC&SR
* for grants.gov applications ≤ \$500,000 DC/year, except Ts (training) and F (fellowship) series			
OCGA	Office of Contract & Grant Administration		
DOM DRA	Department of Medicine Departmental Research Associate		
TDG	Technology Development Group		
CTC&SR	Clinical Trials Contracts & Strategic Relations		

Periods of Performance

DURATION

Project Period

- The Project Period is the total time for which support of a project has been programmatically approved.
- A project period may consist of one or more budget periods.
- See sample 3 year project period below:

Months	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Years	Budget Period 1: Year 1												Budget Period 2: Year 2												Budget Period 3: Year 3											
Project	1 Project Period																																			

Budget Period

- A budget period is the interval of time, usually 12 months, into which the project period is divided for budgetary and funding purposes.
- Example: An award with a project period of July 1, 2021– June 30, 2024 would have 3 budget periods:
 - (1) July 1, 2021 – June 30, 2022*
 - (2) July 1, 2022 – June 30, 2023*
 - (3) July 1, 2023 – June 30, 2024**

*NIH progress reports are typically due 1.5-2 months before each budget period end date, *except the last budget period*. In this example, May 1st or May 15th.

**NIH final reports are due 90 days after project period end date. In this example, September 30, 2024.

Sponsor Guidelines

RULES

Proposal Application Guidelines

- **Read all sets of guidance thoroughly!**
 - Save PDF of all sets of guidelines, highlight important pieces of information.
 - **Guideline Checklist**
- In some cases there may be multiple sets of guidelines. For example, NIH has:
 - **SF424 (R&R)** – generic, “vanilla” guidelines that cover the standard proposals – i.e. formatting, page limitations & general content info.
 - **NIH Grants Policy Statement** – terms & conditions of NIH grant awards. NIH’s interpretation of the **Uniform Guidance**, a.k.a. cost principals. Although this policy governs the funded award (post-award), it is important to be familiar with them at the proposal preparation stage.
 - **Funding Opportunity Announcement (FOA)*** – proposal specific instructions. These instructions supersede anything in the SF424 guidelines. *NIH’s new terminology = Notices of Funding Opportunities (NOFOs)!

Due Dates

- Sponsor Due Dates:
 - FOA will almost always provide a hard due date AND TIME
 - Make sure to note time zone, i.e. Guidelines with 5 pm *Eastern* Time = 2 pm UCLA *Pacific* Time.
- Internal Due Dates:
 - DOM DRA – 3 Day Submission Policy
 - OCGA – 5 Day Submission Policy
- Make sure to communicate due dates with all parties, PI/MPI, Co-Investigators, Subaward Institutions, to allow sufficient time for review, edit, upload, central office review and submission

Electronic Submission Tools

TRANSPORTATION

Electronic Submission Websites

- [Cayuse/S2S](#)
- [NIH ASSIST](#)
- [ProposalCENTRAL](#)
 - Sample sponsors – ACS, ALA, AHA, etc.
- [SmartSimple](#)
 - UC Sponsors – TRDRP, BCRP, CHRP, etc.
- [eBRAP](#)
 - CDMRP/DOD
- [CIRM Grants Management Portal](#)
- [HRSA Handbook](#)
- [NSF Research.gov \(previously FastLane\)](#)
- Some Sponsors still request proposal documents to be submitted “electronically” via email. Emailed applications must be reviewed/signed off/submitted by a UCLA Central Pre-Award Office. **PIs/FMs are not authorized to submit on behalf of the University.**

Access

- Each website/portal requires a logon and password.
- Make sure you have your account set up early in the submission process. Provisioning of access can sometimes take time!
- Some websites/portals require the PI to grant access to FM in order to assist.
- *Discussion Point/Food for Thought: PI vs. FM upload/completion of proposal*

5 Minute Break!



Proposal Documents

EQUIPMENT

Typical Proposal Sections *(general recommendation)*

FUND MANAGER (FM)

- SF424 RR/Face Page
- Performance Sites
- Biographical Sketch for all Key Personnel (KP)
- Budget (5/25/22 class!)
- Internal Proposal Paperwork

**FM reviews all PI section to confirm they comply with Sponsor guidelines – font, margins, page limitations, etc.*

PRINCIPAL INVESTIGATOR (PI)*

- Project Summary/Abstract
- Project Narrative
- Bibliography/References Cited
- Facilities & Other Resources/Equipment
- Budget Justification
- Research Plan – including Specific Aims, Research Strategy, Human & Animal Subjects, etc.

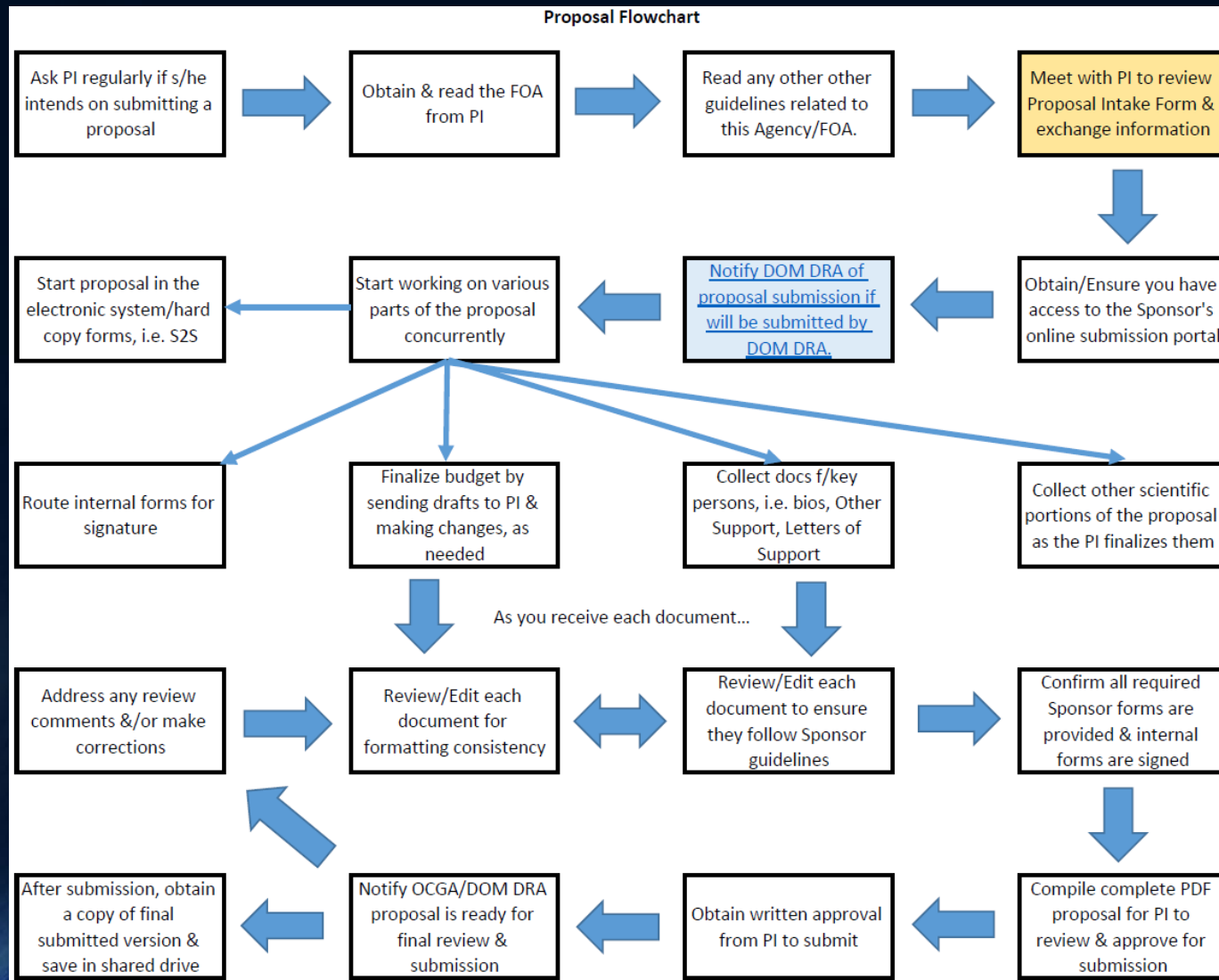
Internal Proposal Paperwork

- EPASS (Extramural Proposal Approval and Submission Summary)
 - Electronic EPASS Portal: Extremely important for correct award setup
- Conflict of Interest (COI) Disclosure Forms
 - Federal PHS agency: eDGE date on third page of EPASS
 - Non-PHS Federal agency (i.e. DOD): Form 740
 - Non-government entity: Form 700U and 700U Addendum. Exempt entities.
 - UCLA requires DocuSign signatures
- DOM PI Responsibilities for human subjects research *only*
- PI Exception Form
 - For PIs who are not Policy 900 PIs

Basic Pre-Award Steps

PLAY BOOK

General Step in Proposal Preparation



Additional Resource:
[Proposal Preparation](#)

[Proposal Intake Form \(Online\)](#)

[Proposal Intake Form \(PDF\)](#)

[Proposal Preparation Timeline](#)

Pre-Award Strategies

STRATEGIES

- **Send out monthly emails** to all PIs requesting information on upcoming proposal deadlines.
- **Start EARLY...and follow-up often!**
- Web search for agencies guidelines, instructions & forms. **Read through guidelines thoroughly**, highlighting important instructions.
- **Meet with your PI**. Use the Proposal Intake Form to help guide your discussion.
- **Create a checklist of required submission items/documents**. If the agencies does not explicitly provide one, use the proposal's Table of Contents as a guide.
- Ask your colleagues for examples of similar proposals that were successfully funded. **Never share a PI's proposal without explicit approval from the PI.*
- Review all documents provided to you for compliance with agencies guidelines, and format to create consistency within the proposal.
- Ask for help if you need it!

- Determine the proposal's complexity
 - Have you submitted to this agency before, and are aware of their guidelines/policies?
 - Is it a limited submission?
 - Subawards, foreign and/or domestic?
 - Detailed budget vs. Modular budget?
 - Paper vs. Electronic vs. Both?
 - Number of Key Personnel?
 - PI's habits, e.g. always late/always early, expectations, etc.?
 - Animals and/or human subjects?
 - Budget over \$500,000 direct cost in any given year?
 - Agency provides only non-fillable forms?
 - Will the grant be submitted via OCGA/TDG/CTC&SR or DOM DRA?
 - Do you have numerous proposals due on, or around, the same deadline?

Links from Today's Class

- [DOM ORA Website – Pre-Award Sections](#)
(includes pre-award manual, forms & reference material)
 - [Proposal Flow Chart](#)
 - [Proposal Preparation](#)
 - [Proposal Intake Form \(Online\)](#) | [Proposal Intake Form \(PDF\)](#)
 - [FOA Questions](#)
 - [Proposal Document Checklist](#)
- [OCGA Proposal Preparation](#)
 - [Commonly Needed Information](#)
 - [Budget Preparation](#)
- [Conflict of Interest \(COI\)](#)



Survey Link

<http://goo.gl/forms/C3gdjsL5y1>

We appreciate if you would take a few moments to complete a short 7 question anonymous survey to help us improve your training experience. Thank you!