Pre-Award Basics

for VA Research Faculty

UCLA Department of Medicine
Office of Research Administration

Today's Agenda

- Introduction

- Differentiating Pre-Award Offices

- Typical Proposal Forms (using NIH as a guide)

- Proposal Workflow

- Deadlines

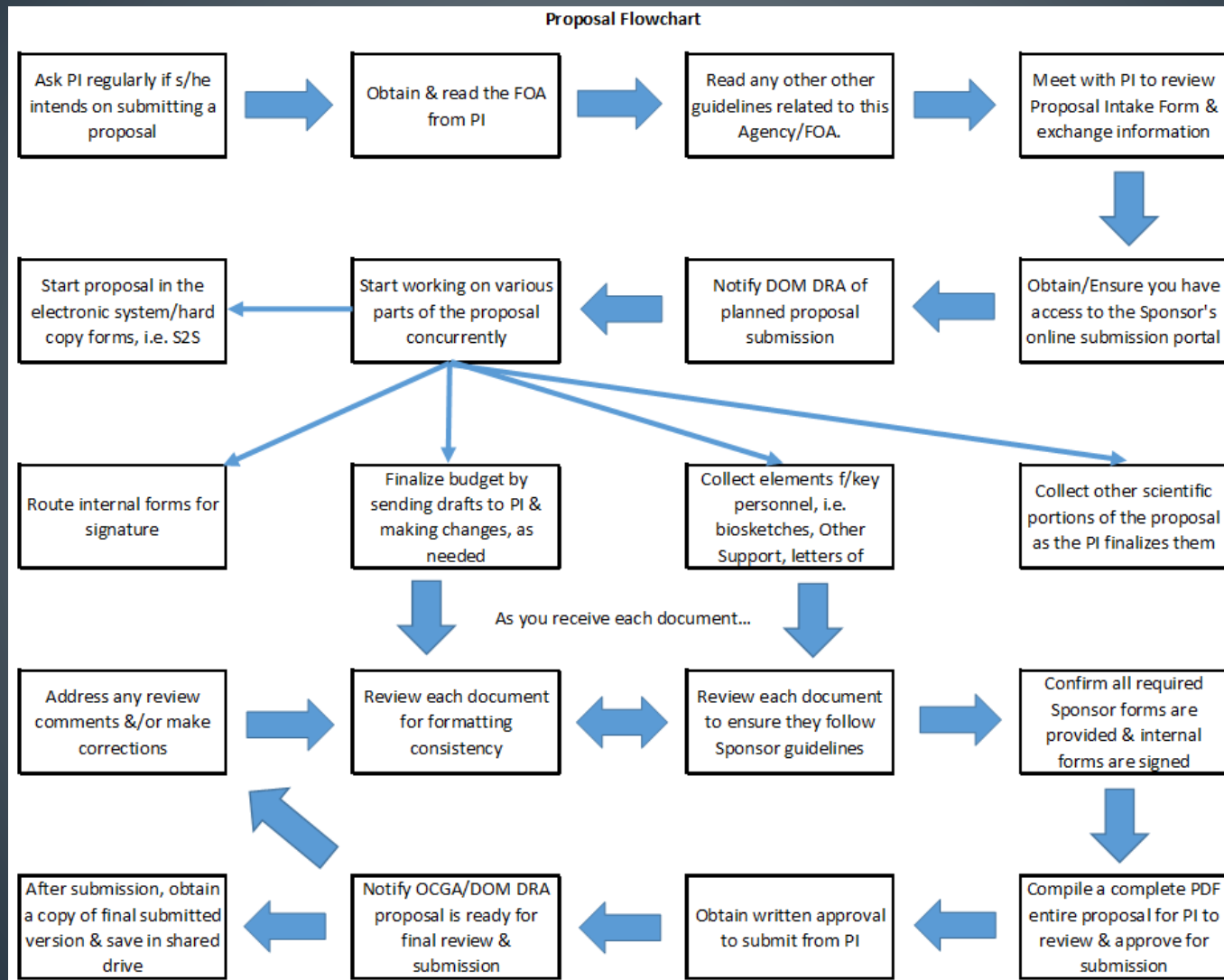- Pre-Award Strategies

- Common Mistakes

- Resource Materials

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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			
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		

Typical NIH Proposal Sections & Page Limitations

- Read the guidelines/Funding Opportunity Announcement!
- Face Page/SF424 RR   Purple=Fund Manager
- Performance Sites   Green=PI
- Project Summary/Abstract (30 lines max)
- Project Narrative/Relevance to Public Health (3 sentence max)
- Bibliography/Reference Cited
- Facilities & Other Resources / Equipment
- Biographical Sketch for all Key Personnel (5 page max each)
- Budget & Budget Justification
- Research Plan – including Specific Aims (1 page), Research Strategy (6 or 12 pages), Human & Animal Subject, LOS, etc.
- Internal Proposal Paperwork -
  - EPASS electronically signed by PI, Conflict of Interest, PI Exception, Human Subject

General Step in Proposal Preparation

Proposal Flowchart

Ask PI regularly if s/he intends on submitting a proposal → Obtain & read the FOA from PI → Read any other other guidelines related to this Agency/FOA. → Meet with PI to review Proposal Intake Form & exchange information

Start proposal in the electronic system/hard copy forms, i.e. S2S ← Start working on various parts of the proposal concurrently ← Notify DOM DRA of planned proposal submission ← Obtain/Ensure you have access to the Sponsor's online submission portal

Route internal forms for signature | Finalize budget by sending drafts to PI & making changes, as needed | Collect elements f/key personnel, i.e. biosketches, Other Support, letters of | Collect other scientific portions of the proposal as the PI finalizes them

As you receive each document...

Address any review comments &/or make corrections → Review each document for formatting consistency ↔ Review each document to ensure they follow Sponsor guidelines → Confirm all required Sponsor forms are provided & internal forms are signed

After submission, obtain a copy of final submitted version & save in shared drive ← Notify OCGA/DOM DRA proposal is ready for final review & submission ← Obtain written approval to submit from PI ← Compile a complete PDF entire proposal for PI to review & approve for submission

Deadlines:
Sponsor vs. OCGA vs. DOM ORA

- **<u>Sponsor</u>** Deadlines will always be listed on the guidelines
  - If a Sponsor deadline falls on a weekend or holiday, it typically is due the next business day
- **<u>OCGA</u>** Deadline is always <u>5 business days prior</u> to Sponsor Deadline
- **<u>DOM DRA</u>** Deadline is always <u>3 business days prior</u> to the Sponsor Deadline

October 2019

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
29	30 OCGA R01 5 Day Deadline	1	2 DOM DRA R01 3 Day Deadline	3	4	5 NIH R01 Deadline
6	7 OCGA K Deadline	8	9 DOM DRA K Deadline OCGA R03/R21 Deadline	10	11 DOM DRA K Deadline	12 NIH K Deadline
13	14	15	16 NIH R03, R21 Deadline	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31	1	2
3	4	Notes				

NIH Due Dates

- Activities Codes, Cycles, & Important Dates...oh my!
  - Common Activity Codes
    - T&F Series – Research Training & Fellowships
    - K Series – Career Development Awards
    - R Series – Research Grants
    - U Series – Cooperative Agreements
    - P Series – Program Projects/Center Grants
  - Common Type Codes
    - Type 1 – New
    - Type 2 – Renewal (Competing Continuation)
    - Type 3 – Add'l Support / Competing Revision / Admin Supplement
    - Type 5 – Non-competing Continuation / Progress Report

DOM 3 Day Policy Clarification

- DOM 3 Day Policy

- Proposals should be *final, and ready to submit* 3 business days prior to Sponsor deadline, *not draft versions*

- If the review process is completed with no errors/warnings, DOM DRA will click submit!

- If there ARE review comments that need to be addressed, the PI/fund manager has a couple hours to address issues.

- Review comments: must vs. should

- FM will provide PI with final PDF or proposal. Written PI approval is required to submit by 3 days prior to sponsor due date.

NIH PI Continuous Submission

- **Why?** Commitment to recognize outstanding service in the NIH peer review process and/or Advisory Groups
- **What?** Allows appointed members to submit their research grant applications (R01, R21, or R34) with standard due dates only (i.e. does not apply to applications with specific due dates) on a continuous basis & have those applications undergo review in a timely manner.
- **Who?** List of Reviewers Eligible for CS
- **How** does this affect UCLA internal due dates?
  - OCGA (5 day policy) vs. DOM DRA (3 day policy)
  - "Soft" deadline vs. "hard" deadline
  - Must include Cover Letter that states eligibility of PI for CS

NIH Policy for Late Application Submission

- Different from Continuous Submission privileges

- Two week window of consideration after the application due date

- Temporary or ad hoc service by a PD/PI on an NIH advisory group during the two months preceding or the two months following the application due date.

  - For PDs who are eligible for CS, this policy applies to activities not covered und CS (i.e. other than R01, R21, R34 opportunities that use standard due dates)

- Must include cover letter to explain reason for late submission

- <u>Pre-Award Strategies: Determine the proposal's complexity</u>
  - Have you submitted to this agency before, and are aware of their guidelines/policies?
    - Some Sponsors have 2 sets of guidelines! Ex. NIH – SF424 & funding opportunity announcement (FOA) – PA-19-424
  - Is it a limited submission?
  - Subawards, foreign and/or domestic?
  - Detailed budget vs. Modular budget?
  - Paper vs. Electronic vs. Both?
  - Number of Key Personnel?
  - 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 or DOM DRA?
  - Do you have numerous proposals due on, or around, the same deadline?

Commons Mistakes

- Exceed # of resubmissions
- Formatting Issues: exceed page limits, incorrect font, etc
- Incorrect versions uploaded
- Biosketch has not been updated. Formatting errors.

- Incorrect Award # associated with proposal

How to Avoid Them!

- Remember only 1 allowed!
- Read all sets of guidelines! Sometimes there are multiple!
- Review final PDF carefully
- Obtain most updated version from all KP, specialized for this proposal (Sec. A)
- Double check award #

- START EARLY!

Who you gonna call?!

- VA Fund Managers: Aida Alverez, Amisha Singh, Tina Bulchand
- MSO: Jill Narciso
- DOM DRA: domdra@research.ucla.edu
- My Contact Information: Cathy Rujanuruks, Director of Research Administration
  - Email: crujanuruks@mednet.ucla.edu
  - Phone: 310-206-6287
  - Office: 32-115 CHS

Questions??

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