Working with Pre-Award Workshop

Sponsored Program Services
Office of the Vice President for Research

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Process Overview

Key Takeaways

- No proposal may be submitted until it has been reviewed and approved by SPS
- Be mindful of internal requirements and other administrative requirements
- Engage with Faculty Services/Department Administrator as soon as possible
Internal Requirements

**Always Required**
- Internal Review Form (IPR)*
- Proposal Guidelines from Sponsoring Agency
- Budget*
- Budget Justification*
- Complete Application/Proposal
- Financial Conflict of Interest Disclosure

**May be Required**
- Cost Share Form*
- Information and Compliance Form for Subrecipients*
- Other Subrecipient Documents*
- NIH Multiple PI Certification Form*
- Request for Approval to Serve as PI*

*These items are completed partially or fully by Faculty Services

**Key Takeaway**
Start and finalize the administrative components first leaving you time to focus on the scientific narrative
Internal Forms

IPR Form
- Summary information about the proposal
- Compliance information (human subjects, export controls, EHS, etc.)
- Required certifications and approvals (PI, DH, Dean)

Cost Sharing Approval Form
- Captures in-kind and cash contributions to projects
- Requires signature of the unit making the contribution

Information and Compliance Form for Subrecipients
- Institutional sign off and approval by subawardee
- Compliance information and required certifications

Request for Approval to Serve as PI
- Approval required by Department, Dean and OVPR
Sponsor Rules and Requirements

Federal
- 2 C.F.R. Part 200 (Uniform Guidance) - grants
- Federal Acquisition Regulations - contracts
- Sponsor policies
- Solicitation

Non-Federal
- Sponsor policies
- Solicitation

Key Takeaway
READ READ READ the sponsor policies and solicitation. This is your key to the proposal requirements!
Limited Submissions

Some sponsors limit the number of proposals the University can submit

- Internal competition well in advance of the proposal deadline
- READ the solicitation and reach out to OVPR if this limitation exists
- NSF MRI: make sure you have cost sharing figured out in advance of submitting to the internal competition
Proposal Components

**Cover Page**
- Institutional information
- Basic proposal information (title, PI, total requested)
- Institutional approval/sign off

**Facilities Statement**
- Summary of existing facilities, resources and equipment available for this proposed project

**Biosketch**
- Typically required for PI and senior personnel
- Brief (2-5 pages) listing of qualifications for this project
- Standard formats and requirements vary by sponsor
Proposal Components

Current/Active and Pending Support

• Includes *all* financial resources *whether funded through the University or not*
• Sponsored awards to UCONN are tracked in InfoEd (Faculty Services or Department Administrator can assist)
• Funding outside of UCONN is not tracked by UCONN (PI’s responsibility to track and report)
• Inaccurate/incomplete current and pending may have serious implications for faculty and the University
Proposal Components

**Budget**
- Direct Costs
  - Salaries
  - Fringe benefits
  - Travel
  - Materials and Supplies
  - Equipment
  - Subawards
- Facilities and Administrative (F&A) Costs
  - Percentage of modified total direct costs
  - Represents existing resources including facilities and administrative support
  - F&A return to faculty program
Proposal Components

**Budget**
- Cost Sharing
  - Portion of the project paid for by the University
  - Generally should only be included when required by the sponsor
  - Requires approval by the Department Head and/or Associate Dean (*start this process early!!*)
  - Follows the same rules as the sponsor and all obligations must be met within the project period

**Budget Justification**
- Explains and details all costs including methodology for amounts and how the costs will benefit the project

**Key Takeaway**
These components should be completed as soon as possible
Proposal Components

Abstract
- Summary of the proposal
- Typically no more than one page
- Made publically available if funded

Project Narrative/Description/Research Strategy
- The big idea that will get you funded!!
- Strict and specific requirements for length, required sections, etc.

Bibliography/References Cited
- Generally no page limit
- Pay attention to formatting requirements
Proposal Process

1. Idea!
2. Work with FS/Center/Admin
3. Admin. Pieces and Forms
4. Draft Science
5. Review and Approval by SPS
6. Finalize Science
7. Submission to Sponsor
Foreign Collaborations

*UCONN encourages international collaborations and the OVPR strongly urges investigators to err on the side of transparency in disclosing these collaborations to the University and Sponsors*

- Foreign components **must** be disclosed in proposals
- Prior approval is often required to include a foreign component
- Follow University policy for consulting and financial disclosures

**Export Control**
- Disclose foreign collaborations/components on the IPR
- Sponsor may impose additional requirements
- Technology Control Plans
- Secured Research Infrastructure (DFAR 252.204-7012)
Working with Industry

Budgeting
• Unless requested, do NOT send an industry partner a detailed budget

Intellectual Property Negotiations
• UCONN owns the IP and provides a non-exclusive royalty free license for internal use only
• Exclusive and other licenses are negotiated by Tech Transfer Office
• Exceptions may occur and are project specific

Publications Rights
• UCONN must retain the right to freely publish
• Exceptions are only made for federal contracts (DFAR 252.204-7000)

UCONN Foundation
• Often a valuable resource and may already have a connection with the industry partner
Mitigating Risks

True Stories of Rejections
- One character over the margin limitations
- Misunderstood deadline date
- Incorrectly formatted biosketch
- Wrong science uploaded
- Collaboration email that did not match required template
- Missed the deadline by 38 seconds
- PI/Institution not eligible
- Science does not align with sponsor solicitation

Key Takeaways
- READ the solicitation
- Allow PLENTY of time for review and corrections
- Allow PLENTY of time for submission
Resources

Faculty Services Overview
Faculty Services Contacts
Pre-Award Overview
Pre-Award Frequently Requested Information
Limited Submissions
Pre-Award Forms
Budgeting and Costing Guide
Budget Templates
Current/Active and Pending Support
Foreign Collaborations
Financial Conflict of Interest
Export Control