



Proposal Development and Submission
for Sponsored Programs

January 2011

Learning Objectives

- Responsibilities of
 - Principal Investigator (PI)
 - Research Administrator
 - Sponsored Programs Office (SPO)
- Proposal preparation, review, submission:
 - Compliance Requirements
- Requirements for a Pre-Award Project

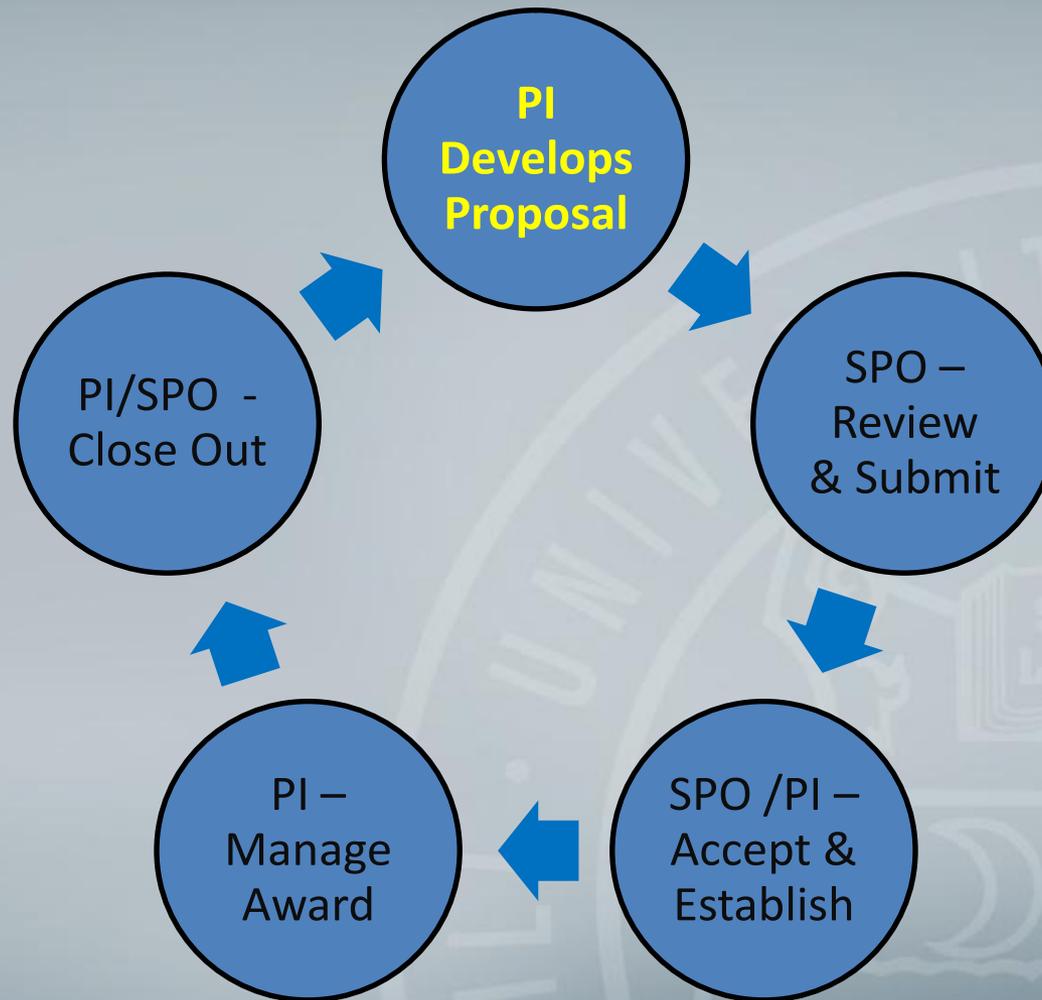
Definitions

- Facilities and Administrative (F&A) – Costs incurred for a common or joint objective which are not easily identified with a particular award.
- Pre-Award – A project established in the financial system prior to receiving a fully executed award document.
- Principal Investigator (PI/Co-PI) – Named by sponsor on award document with **overall** responsibility to manage the award.

Definitions

- Proposal Signature Routing Sheet (PSRS) – Internal document to collect required approvals for the proposal.
- Research Administrator – Individual assisting PI with the fiscal management of an award.
- Sponsored Programs Office (SPO) – Campus office to manage administrative duties and monitor compliance related to sponsored awards.

Award Cycle



PI Responsibility

- Involve others early in proposal process
- Development of proposal including:
 - Technical aspect – scope of work
 - Financial budget and justifications
 - Proper review and approvals - PSRS
 - Refer to SPO website for institutional information
- Proposal to SPO for review
- SPO reviews and submits– PI does not submit directly

PI Responsibility

- Ensure sponsor requirements and guidelines are met
 - Forms
 - Unique allowability restrictions
 - Submission deadline
- Compliance with University policies
 - Accounting Policy Manual (APM) – Section 60
 - Business Policy Manual (BPM)

PI Responsibility - Budget

- Allowable direct costs per A-21 and sponsor
 - Reasonable
 - Allocable
 - Consistent Treatment
 - Conform to limitations or exclusions of sponsor
- Justify any unlike circumstances

PI Responsibility - Budget

- Reasonableness of effort commitment
 - Evaluate with existing commitments
- Use of Subawards
 - Include in budget and scope of work
 - Properly identified
 - Subject to same compliance requirements
 - Obtain letter of commitment and budget
- Use appropriate F&A rate
 - Approval required for any waivers

PI Responsibility - Budget

- Cost sharing requirements:
 - Committed cost share must be approved
 - Must be an allowable direct cost
 - Evaluate for reasonableness
 - Ensure all cost sharing is clearly identified – direct or implied
 - If award received, all committed cost share must be met

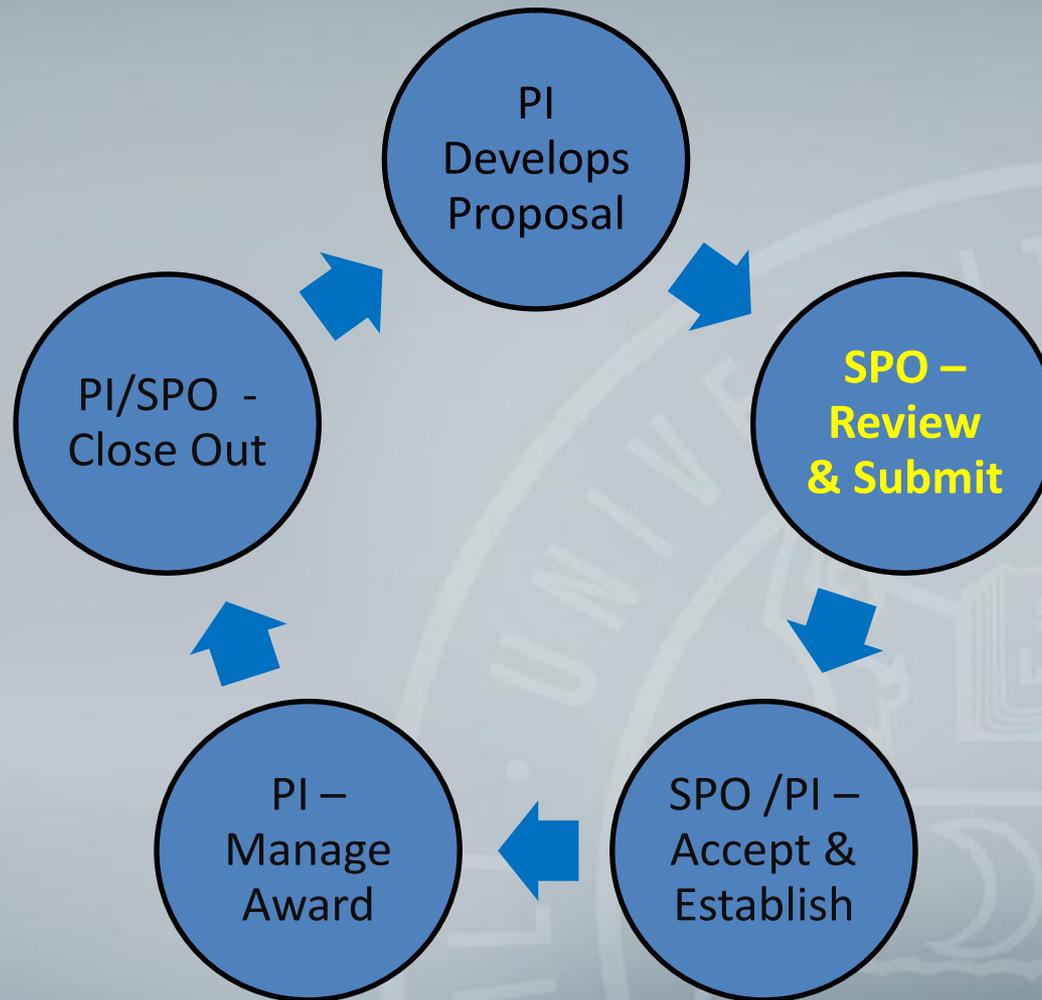
PI Responsibility - Other

- Conflict of Interest disclosures
- Human Subjects – Institutional Review Board
- Institutional Animal Care and Use Committee
- Export control regulations
- Intellectual property potential
- Responsible conduct of research training

Research Administrator Responsibility

- Involve the Research Administrator early in process:
 - Assists with review of proposal for compliance
 - Reviews budget for allowable costs
 - Identifies need to justify unlike circumstances
 - Ensures PSRS is signed by appropriate individuals
 - Discuss necessity of Pre-Award Project
- Provides other information to SPO as needed

Award Cycle



SPO Responsibility - Submission

- Before submission, reviews for:
 - Compliance with submission requirements
 - Appropriate approvals on the PSRS
 - Proposal budget calculations
 - Allowable costs and budget justification
 - Other University reviews and approvals
- Obtains institutional endorsement
- Formally submits proposal

Pre-Award Project - Establish

- PI evaluates need for a Pre-Award Project
- Criteria to establish:
 - Proposal must be submitted
 - PI, Department Head, and Dean guarantee costs
 - Justification to begin work before award receipt
 - Other approvals required (Human subject)
 - Compliance with sponsor requirements

Pre-Award Project – Monitor

- SPO monitors Pre-Award Projects:
 - Older than 90 days
 - Discuss status with PI
 - Older than 6 months
 - Determine appropriate action
- Upon award execution:
 - Changes status from Pre-Award to Awarded
 - Avoids unallowable and unnecessary cost transfers

Concluding Points

- In developing the proposal:
 - Involve Research Administrator and others early
 - Be aware of sponsor and/or University compliance requirements
 - Allow sufficient time for internal and SPO review
 - Consider need for a Pre-Award Project

Additional Information

- APM 60.35 – Establishing an Award
- BPM 210 – Sponsored Programs
- [Roles and Responsibilities](#)
- [Reference Guide for Sponsored Programs](#)
- Other related training available:
 - [Financial Compliance Training Website](#)