Proposal Development

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Agenda

1. Goals of OGC PreAward Review
2. Application Types
3. Routing Proposals
4. OGC PreAward Review (Proposal Components)
5. Proposal Submission
1.) Goals of OGC PreAward Review

- Ensure application has met sponsor administrative requirements for submission

- Ease burden of financial management and reporting in the postaward stage

- Be available as an additional resource in the proposal stage
2.) Application Types

- PreApplication process
- Proposal Process
- Continuation/Noncompeting Continuation
PreApplications

- Also referred to Letters of Intent
  - Letter of Intent can be part of PreApplication

- Sponsor required to evaluate submissions prior to extending an invite to submit full proposal
  - American Heart Association (Select Opportunities)

- Sponsor requires to estimate application volume
  - DOD (LOG Number)

- Sponsor requested to estimate application volume
  - NIH special RFAs
PreApplications

• When to Route via InfoEd
  – Institutional Endorsement Required
  – Full Budget (Detailed)

• Notify xenia@ucdenver.edu of Submission
  – Institutional Endorsement Required
  – Estimated Cost (No Detail)

• PI/Dept Submission
  – Estimated Cost (No Detail)

• Sponsor requires CU Denver to agree to specific terms and conditions as part of the PreApplication process
  – Exception Letter
  – Negotiation with the sponsor
  – Processed and reviewed by OGC Contracts Team
  – Routing is determined by level of budget detail required
Proposals

- Solicitations
  - PI develops response to sponsor guidelines established in a formal announcement

- Unsolicited Proposals
  - PI submits proposal not within the scope of any issued funding opportunity but within the scope of activities of the sponsor

- Limited Submission Proposals
  - Sponsor limits the number of applications that can be submitted by each institution
  - PIs must receive permission from the OVCR before submission to the sponsor
    - Follow OVCR announcement instructions
    - Notify OVCR of limited submission opportunity of interest
    - Include approval email from OVCR with proposal routing
Continuation or Non-Competing Proposals

• Request for funding for one or more additional budget periods that would otherwise expire

• Can be based on the availability of funds, project performance, and compliance with sponsor requirements
3.) Routing Proposals

- Purpose of Routing
- COI Disclosure Requirement
- Prospective Employees
- Routing Timeline
- When to Route
- What to Route
Purpose of Routing

• Establishes eligibility of an individual to be PI

• Defines the appropriate department/division to receive recognition for the proposal and award

• Identifies the project location. The location of projects subject to the University's negotiated rate agreement determines the appropriate rate to be used.

• Identifies appropriate protocols (Human subjects, animals, environmental safety, etc.)

• Identifies any cost sharing, and whether it is mandatory or obligatory

• Indicates that appropriate financial interest disclosures have been filed

• Provides endorsement of the project by the department and applicable dean.
COI Disclosure Requirement

All Personnel who meet the definition of a covered individual must complete a CU Denver COI Disclosure Form according to the following requirements:

- Within 60 calendar days of being hired
- No later than at the time of application for research funding (i.e., one cannot submit a grant if a current disclosure is not on file with the COIC Office). As this is a Federal policy, no exceptions can be made for this step.
- Annually between mid-August and October or upon request by the COI Official
- Within 30 days of discovering or acquiring a new significant financial interest (e.g. through purchase, marriage or inheritance)
- Within 30 days of the occurrence of any trip for which there is reimbursement or sponsored travel
Prospective Employees

Faculty whose appointment start date is in the future may apply for proposals through CU Denver

- Project start date cannot be prior to the appointment start date

- Routing must include –
  - Signed memo or draft LOO from the appropriate appointing authority that includes FTE, salary and start date
  - UCD eligible PI must also sign off on electronic routing approval
    - Internal process only
    - Do not include information with application package unless person is participating on the project
Routing Timeline

• Authorized Organizational Representative Submission
  – Must be received by OGC by the end of the 12th business day prior to the sponsor deadline
  – Final submission by the AOR must be received by 4pm on the 4th business day prior to the sponsor deadline

• PI/Dept Submission
  – Proposal must be received by OGC 5 full business days prior to the sponsor deadline
When to Route

• All proposals and contracts involving new money

• Master Agreements, SRA, CDAs or MTAs

• Do not route:
  – Award notices for routed proposals
  – NCEs
  – CF
  – Budget revisions (no additional funds)
  – Contract Amendments that do not add funds
  – Invention Statements
  – Final Progress Reports
What to Route

- InfoEd routing form
- Sponsor instructions
- All forms and documents required by the sponsor
- Detailed budget pages

**Research plan and any applicable scientific related documents are the only documents that can be routed in draft form**
Items to Route as Applicable

- Subrecipient Documents
- F&A Waiver
  - Submit to xenia@ucdenver.edu with routing number
- VA MOU
- Preactivation Request
- Salary Increase Verification
- Limited Competition Submission Authorization
4.) Proposal Components

• Sponsor Instructions
  – Verify correct attributes (ie. (Proposal Type, Program Type, Instrument Type, etc
  – Submission Type (AOR vs Dept)
  – Deadline Date
  – Funding limit/F&A Restrictions
  – Eligibility
  – Institutional Registrations
  – Cost Sharing
  – Other Submission Requirements
Proposal Components Cont.

• Sponsor Required Forms
  – Complete/Correct/Applicable Signatures

• Detailed Budget
  – Effort, Salary, Fringe for all personnel
  – Allowable and allocable costs
  – F&A Application
    • MTDC/TDC
    • Rate
5.) Proposal Submission

• Dept. Submitted Directly to Sponsor
  – OGC PreAward has completed review
  – OGC PreAward suggested corrections have been reviewed and addressed

• AOR Submission to Sponsor
  – Notify eapp.xenia@ucdenver.edu