Overview of the Proposal Submission Process, Award Negotiation, Award Approval, and Set-Up

Assessment 2 will cover materials in Module 2.00 of the tutorial including information in referenced guides. Definitions and acronyms referred to in this module and found in the definition or acronym list provided as part of this tutorial (see Module 1.00) may be included in the assessment. The assessment will not cover information found in external web sites.

Matching

Match each word to the correct definition.

<table>
<thead>
<tr>
<th>Match Question Items</th>
<th>Answer Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal</td>
<td>Application or request for funding submitted by a faculty member to an external funding agency.</td>
</tr>
<tr>
<td>Sponsor</td>
<td>External funding agency that enters into an agreement with the institution to support research, instruction, public service, or other activities.</td>
</tr>
<tr>
<td>Authorized Institutional Official</td>
<td>Individuals designated to give assurances, make commitments, and execute documents on behalf of UCD</td>
</tr>
<tr>
<td>Sponsored Projects</td>
<td>Research, instructional, or public service activities related to the mission of the UCD</td>
</tr>
<tr>
<td>None</td>
<td>A faculty member or administrator at an institution.</td>
</tr>
</tbody>
</table>

Correct Response

Proposals are applications or requests for funding submitted by a faculty member to an external funding agency. Sponsors are external funding agencies that enter into an agreement with the institution to support research, instruction, public service, or other activities. Authorized Institutional Officials are individuals designated to give assurances, make commitments, and execute documents on behalf of UCD|AMC. Sponsored Projects are research, instructional, or public service activities related to the mission of the UCD|AMC and sponsored by external agencies or entities.

Multiple Choice

Why is it that the faculty member designated on a proposal as the Principal Investigator (PI), is the person who accepts primary responsibility for technical compliance and fiscal stewardship of the sponsor funded project?

1. The PI is qualified to lead the project
2. The sponsor has accepted the PI as the “lead” on the project
3. **UCD|AMC fiscal policy on Roles and Responsibilities establishes that the PI on a sponsored project accepts such responsibilities**
4. None of the above

Correct Response

According to fiscal policy 4-13, Roles and Responsibilities for Grant and Contract Administration, the PI has the primary responsibility for technical compliance, completion of programmatic work, and fiscal stewardship of sponsor funded projects.

True/False

Is the following statement true or false?

When the primary benefit of the work is to the awardee and the sponsor’s award terms are less restrictive, the award mechanism is typically a contract. **(FALSE)**
Correct Response Grants tend to be less restrictive, with the primary benefit of the work going to the awardee.

Multiple Choice
What is the term used to refer to any grant or contract before it is awarded?

1. Grant
2. Project
3. Proposal
4. Program
5. Agreement

Correct Response The term "proposal" is used when referring to grants and contracts that have not been awarded.

Multiple Choice
Who has approval to sign proposals on behalf of UCD|AMC?

1. Administrator
2. Authorized Institutional Official
3. Dean
4. Department Chair
5. Principal Investigator

Correct Response All formal proposals require an institutional authorized signature to show the institution's acceptance of the proposal. The signature of an "authorized institutional official" certifies that commitments made on proposals, applications and agreements can be honored; and ensures that all extramural support conform to Federal regulations, sponsor guidelines, and applicable institutional policies.

True/False
Is the following statement true or false? Contracts and Subcontracts are the same thing.  (FALSE)

Correct Response Contract proposals typically result in a contract award with established deliverables. Contract awards are designed to acquire services from UCD|AMC that many times will primarily benefit the sponsor. A subcontract is designed to procure services from another entity. The subcontractor in this case is the legal entity that a subcontract is made to and which is accountable to the UCD|AMC for the use of the funds provided.

Multiple Choice
A gift can be distinguished from a grant or a contract because:

1. There is no expectation of tangible goods or services being produces and provided to the sponsor
2. The sponsor calls the funding a gift rather than a grant or contract
3. The funding is provided to UCD|AMC as a charitable contribution
4. The funding is provided to support investigational research of a faculty member and only a final report is required to be sent to the sponsor.

5. 1 and 3

Correct Response: Gifts differ from grants and contracts because gifts are charitable contributions for use by UCD|AMC exclusively to fulfill its tax-exempt purpose(s). Gifts are cash or non-cash items bestowed voluntarily to the UCD|AMC without any expectation of a tangible good or service being provided in return and there can be no expectation of economic benefit on the part of the donor.