Proposal submission process (Module 2.00)

In this Module

- Proposals
- Funding Opportunities
- Principal Investigator(s)
- Grants, Contracts, and Gifts
- Before Getting the Award
Proposals

- Understanding that there are **processes that must be followed prior to submitting a proposal** to a sponsor will facilitate proposal writing success.
- A proposal is a grant application request for funding submitted by a faculty member to an outside sponsor or contract proposal that **may directly lead to an award**.
- A proposal can also be a set of documents **containing a descriptive narrative of an idea and a budget** to be submitted to a sponsor for support.
Proposals

• A **sponsor** is an external funding agency that enters into an agreement with UCD|AMC institution to support research, instruction, public service or other sponsored activities.
  - Private Businesses
  - Corporations
  - Foundations
  - Other Universities
  - Other not-for-profit organizations
  - Federal, State and local governments.

• Some sponsors require that proposals are submitted on preprinted forms while others have no specific format.
• Faculty and administrators should take time early in the process to develop fully a well thought out proposal. A well thought out proposal can save considerable time later when there are numerous time constraints on the completion of work.
All formal proposals require an institutional authorized signature to show the institution's acceptance of the proposal.

- An **authorized signature** is the signature of an institutional official who is designated to give assurances, make commitments, and execute documents on behalf of UCD|AMC as may be required by sponsors and/or UCD|AMC for the provision of financial assistance to UCD|AMC.

- 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.

- Click here for information on OGC signature authority.
Funding Opportunities

Identification of external funding sources is the first step in the process of obtaining funding from a sponsor.

**Faculty members are urged to contact**
- Their Dean's Office
- OGC funding opportunities web page
- The Office of Research and Development (ORDE) for information about potential sources of funding.

**Keep At It!**
- Do not give up in the pursuit of external funding if a proposal is not funded.
- Many proposals are not funded the first time the proposal is submitted.
- Consider resubmitting a proposal after careful evaluation of reviewers’ comments.
- Just because one sponsor did not fund the proposal does not mean the proposal will never be funded.
- Be sure to also look to other sponsors for potential funding opportunities.
A Principal Investigator (PI) on a proposal is typically a faculty member who has been qualified and accepted by a sponsor to lead the proposed work.

The PI is responsible for technical compliance, completion of programmatic work, and fiscal stewardship of sponsor funded projects (see Fiscal Policy 4-13, Roles and Responsibilities for Grant and Contract Administration).

To Be a PI…
• Faculty must have certain ranks to be eligible as a PI as determined by the faculty's School. **Click here for PI eligibility.** Exceptions to school requirements will require written approval by the applicable Department Chairman and Dean of the School.
• The sponsor may also limit who can apply for funding.

Roles and Responsibilities
• Throughout this tutorial the responsibilities of the PI, administrative staff, and OGC will be described.
**Grants, Contracts and Gifts**

What’s the difference?

**Grant applications**

- Typically result in a grant award that is directed at satisfying specific sponsor requirements.
- Grant awards tend to be less restrictive, with the primary benefit of the work going to the awardee.
- The majority of awards made to UCD|AMC are grants.
Grants involve one or more of the following characteristics:

- An award that is directed at **satisfying specific sponsor requirements**. A proposal or award letter may contain terms specifying the scope of work or line of inquiry, performance targets, timeframe, level of personnel, etc.
- A **line item budget** detailing expenditures by activity, function, and time period that must be adhered to as a condition of funding.
- **Deviations** from the approved budget **may require written sponsor approval**.
- The award involves issues requiring **institution review** including the use of human subjects or laboratory animals, assignment of patents or copyrights, ownership of data or equipment, allocation of institution space, or research involving recombinant DNA, radioactive or biohazard materials.
- A **specific period of performance** prescribed to the sponsor.
- **Provisions for audits** by or on behalf of the sponsor.
- The sponsor requires a detailed **financial report and/or technical report at intervals** during the period of performance or upon completion of the grant.

**Grants come in many forms. Two examples of grants received at UCD|AMC are:**

- Federal Grants
- Federally Sponsored Cooperative Agreements
Clarification on Grants, Contracts and Gifts

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**.

Subrecipient agreement (also termed a subaward or subcontract) differs from a contract.

- A subrecipient agreement is designed to **procure services from another entity**.
- The subrecipient 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. Subrecipient agreements will be covered in greater detail later in this tutorial.
Clarification on Grants, Contracts and Gifts

For the documentation leading to an award and the award itself to be considered a contract, it normally must contain all of the following elements:

• The parties to the agreement must be clearly identified.
• Detailed financial and legal requirements must be included with a specific Statement of Work (SOW).
• A specific set of deliverables and/or reports to the sponsor are defined.
• Legally binding contract clauses are included (period of the contract, termination terms, etc.).
• Authorized signatures by all parties to the contract are required.
Contracts come in many forms. Examples of contracts received by UCD|AMC include:

- Federal Contracts
- Federally Sponsored Agreements
- Interagency Agreements
- Clinical Trial Agreements
Clarification on Grants, Contracts and Gifts

**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.

- There is **no expectation of economic benefit** on the part of the donor.
- Gifts are **charitable contributions** for use by UCD|AMC exclusively to fulfill its tax-exempt purpose(s).
Why Make a Distinction?

The distinction between a grant, a contract and a gift will often determine who in OGC will assist faculty and administrators prior to having a final award and may alter what approvals will be required by OGC.

Throughout this tutorial, the different requirements will be outlined to help you better understand what to expect when working with OGC.
Before Receiving an Award

**Awards** are the funds provided from a sponsor, in writing, for support of a sponsored project or program at UCD|AMC.

This term is used for the original award, and subsequent supplements or modifications; it can mean monies or equipment and could also be referred to as an agreement.
Before Receiving an Award

The PI normally will:

• Be required by the sponsor to develop and submit a grant application or contract proposal.*

• Be required to review and acknowledge acceptance of a grant application or contract proposal.

• Be provided with written documentation that a gift is being given by a donor.

*When the term "proposal" is mentioned, it is referring to both grant applications and contract proposals.
Before Receiving an Award

- To apply for a grant or contract award, a grant application or a contract proposal is submitted by a PI through OGC to an outside sponsor and may directly lead to an award.

- Contracts that arrive in draft form never having required a formal proposal to be submitted are still considered a contract proposal.

- Gifts are to be made in writing and may vary in the documentation used, from a letter to a formal agreement.

*To handle a gift award, contact the CU Foundation the office responsible for accepting gifts at UCD/AMC.*