Institutional Proposal Review – An Overview

Bruce Morgan
Assistant Vice Chancellor for Research
UCR C&G User Group
November 13, 2007
What Happens in SPA?

- Receive proposals
- Log in proposals
- Review proposals
  - Identification and resolution of institutional issues
- Approve proposals
  - Delegated authority
- Submit proposals or return them to the unit for submission
VCR and AVCR Expectations of CGOs

- Conduct an analysis of each proposal to identify and resolve institutional issues
- Act in a facilitative manner
- Use reason at all times when analyzing issues and determining level of risk
- Resolve low risk issues after proposal submission
- Direct communications to the PI and unit CGA
Things We Don’t Do in the Review

The following is not an all inclusive list:

- Verify formatting (i.e., fonts, margins, etc.)
- Verify that pages are within limitations
- Verify budget calculations
- Verify information in biosketches
- Verify current and pending support information
The Review - Key Elements

- Solicitation
- CAF/eCAF
- Application face page
- Abstract
- Budget and justification
- Facilities and resources
- Special issues

Brief (not all inclusive) review of each key element
The Review - Solicitation

- Institutional eligibility
- Certifications, representations, assurances
- Cost sharing requirements
- Special approvals
  - Institutional, regulatory committees
- F&A cost rate limitations
- Special commitments or requirements
  - Limited submissions
  - Intellectual property issues/policies
  - Export control issues
    - Publication and citizenship restrictions, classified research
The Review – CAF/eCAF

- Information consistent with that contained on the face page and elsewhere in the proposal?
- Correct information provided?
- Location of work: on-campus v. off-campus
- Cost sharing commitments
- Financial disclosures
- Research integrity issues
- Appropriate department/school or unit approvals
The Review – Application Face Page

- Verify institutional information
  - Legal Name
  - Type of organization
  - Contact information
  - Institutional identity codes and numbers
- Verify protocol approval dates and assurance numbers
- Amount requested consistent with budget?
- Subject to EO 12372 review?
The Review – Abstract & SOW

- Intellectual property issues?
- Export control, foreign nationals/citizenship issues?
- Material transfer issues?
- Research subject issues?
- Human embryonic stem cell use?
- rDNA or environmental hazards?
- Program management issues?
- Cost sharing commitments?
The Review – Budget & Justification

- Consistent with costing principles and cost accounting standards?
  - Costs in proper categories?
  - Costs treated consistently?
  - Costs allowable and allocable?
- Cost sharing commitments?
- Proper F&A rate used?
  - Type of activity (e.g., research v. instruction)
  - Location (on-campus v. off-campus)
- Adequate justification/explanation of how costs were estimated and how they relate to the proposed work?
The Review – Facilities & Resources

- Are non-UCR facilities or resources listed?
  - Evidence of the other party’s commitment?
  - Requirement for use or access agreement?

- Are facilities and resources of another unit being committed?
  - Evidence that the other unit has agreed to the commitment?

- Does the use of special or shared facilities require additional coordination?

- Cost sharing commitments?
The Review – Special Issues

- Subawards
  - Subrecipient institutional approval
  - Subrecipient proposal
  - Certs and reps from subrecipient
  - Debarment and suspension
    - Institution and Subrecipient PI
  - Delinquent federal debt
  - Use of approved F&A cost rates
The Review – Special Issues

- Consultants or Collaborators
  - Letters of support/commitment
  - Debarment and suspension
- Export controls
  - Transfer of controlled articles outside U.S.
  - Provision of goods, services or currency to embargoed countries
- Human embryonic stem cell use or manipulation
Post-Review

- Issues are communicated to PI and unit CGA
  - Describe the actions or process necessary to resolve each issue
- Issues involving moderate to high-level risks generally need to be resolved prior to proposal approval
- Issues that are lower-level risks are resolved after the proposal is approved and submitted
Resources – Proposal Process

- Proposal Preparation and Submission section of the OR Website
  (http://or.ucr.edu/SP/Lifecycle/Prepare/index.aspx)
- SPA’s FAQ webpage
  (http://or.ucr.edu/SP/Faq.aspx)
- CGO Unit Assignments
  (http://or.ucr.edu/home/Staff.aspx?t=3)
- eCAF (http://iviews.ucr.edu) and the eCAF website
  (http://cnc.ucr.edu/ecaf/)
Questions?