

# Institutional Proposal Review – An Overview

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# What Happens in SPA?

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- 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

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- 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

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- 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

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- Solicitation
  - CAF/eCAF
  - Application face page
  - Abstract
  - Budget and justification
  - Facilities and resources
  - Special issues
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- Brief (not all inclusive) review of each key element

# The Review - Solicitation

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- 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

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- 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

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- 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

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- 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

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- 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

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- 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

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- 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

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- 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

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- 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

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- 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?