

Proposal Guidelines: Preparation and Responsibilities for PIs and RAs

This document is meant to provide helpful guidelines on who is responsible for each component of a proposal package, and to clarify any expectations regarding proposal submission. Responsibility is dependent on various factors, i.e. Agency, Principal Investigator (PI) and Research Administrator (RA). Communication and direct interaction is key between a PI and RA. This allows for each to be kept in the loop, about updates, and changes during the proposal preparation. Ultimately, resulting in a smooth proposal submission.

Timeline:

There are new research proposal submission timelines, effective January 21, 2020. These timelines will support the most effective use Kuali Research (KR), ensure necessary oversight of proposals, and reduce administrative effort by departmental research administrators and PIs.

- PIs shall notify research administrators of their intent to submit proposals no later than **14 business days** prior to the sponsor deadline and complete the research questionnaire and certification provided by a KR notification link.
- Research administrators should initiate a Kuali Research proposal record no later than **14 business days** prior to the sponsor deadline. Academic and administrative approvers (chairs and department business officers) should review and approve proposals as soon as they are notified to do so, and should establish appropriate back-up approvers to ensure there is no delay. Only 5% of all proposals require approval by the department Chair/Director (or their academic delegate) and the administrative officer because they include critical criteria (space, PI eligibility and/or cost share).
- Once completed within the academic department, KR proposal records shall be routed to the assigned Sponsored Project Office (OCGA, SIO-OCGA or HS-SPPO) **5 business days** prior to the sponsor's published deadline. The **final draft** of the research plan is due to OCGA, SIO-OCGA or HS-SPPO, **2 business days** prior to the sponsor's published deadline. To provide PI's time to complete final edits to the research plan, the **final version** of the research plan (with no impact on budget, personnel, effort, etc. from the **final draft**), is due to OCGA, SIO-OCGA or HS-SPPO **no later than 8am PST on the day of the sponsor's published deadline**.
- Completed proposals received in the SPO 5 business days prior to the sponsors published deadline are guaranteed to receive a full review and comments from SPO's, to ensure submittal prior to the sponsor's deadline. Those that are received less than 5 business days, may at minimum receive a cursory review. Those received less than 2 days risk not being submitted as full attention will be assigned to those that are received at least 5 business days prior to the sponsor deadline. (These guidelines will be loosened until June 30, 2020 **as a grace period**, with full compliance required after July 1, 2020.)

Minimum of what a RA does for "all" proposals in preparation is:

- Sets up proposal in KR, PI will certify.
- Prepare budget for PI, review and make any changes/adjustments.
- Prepare/Update PI's current and pending and make any modifications after PI reviews.
- Read solicitation and review proposal to ensure submission requirements are met.
- Budget justification is prepared by both PI and RA. Based on the final budget, PI will provide the budget justification, RA will review, and add standard language regarding NGN information and IDC.
- When questions arise about the proposal (e.g., when agency guidelines are not clear, which can happen when there are international collaborations or subawards), RA will work with SRO in contacting the agency to get answers.

Minimum of what a PI does for "all" proposals in preparation is:

- Read the solicitation
- Address technical questions to Program Manager
- Provide RA "Necessary information for proposal preparation" (see below)

Different components of an NSF submission via FastLane and who is responsible :

- Allow SRO access to view/edit/submit as a first step in FastLane (SRO requires PI/RA approval via email to submit final proposal): PI/RA
- Cover Page: PI/RA
- Collaborators & Other Affiliations Information (COA): PI
- Project Summary: PI
- Project Description: PI
- Budget: RA with input from the PI
- Budget Justification: PI with input from RA
- Biosketch/CV of PI(s) and co-PIs: PI
- Current and Pending: RA with input from PI
- Facilities: PI
- Data Management Plan: PI
- Postdoc Mentoring Plan: PI
- Supplemental Documents: PI

NASA submissions:

- Budget: RA prepares/enters into NSPIRES (with input from the PI)
- All other required documents are combined into one (1) pdf (entirely written by the PI) and uploaded into NSPIRES. The upload is done by either PI or RA. Who is responsible for the upload should be discussed at the beginning of the proposal preparation.

Grants.gov submissions:

- Project Narrative: PI provides all required information, RA uploads
- Budget: RA or PI for inclusion into the Project Narrative
- Current/Pending: RA or PI for inclusion into the Project Narrative

Other Proposal submissions: (no agency portal)

- Signature/cover page: RA prepares, PI signs
- SOW: PI provides pdf
- Budget: RA prepares, PI reviews
- Budget Justification: PI prepares, RA review/modifies
- Current and Pending: PI prepares, RA review/modifies
- Final packet: RA puts all required documents/proposal into one pdf and sends, along with signature page to C&G officer.

Approvals:

- ePD: Section (CAO) or Alternate
- ePD: Division Director or Alternate
- Institution approval & Submission: C&G Officer

Necessary Information for Proposal Preparation

1. Agency, including prime, if applicable and deadline for proposal submission?
2. Start and End date of proposal.
3. Is there a solicitation? If so, please provide.
4. Provide title.
5. Are there any co-PIs? If yes, who is the lead PI.
6. Is it a collaborative proposal? If yes, who is the lead, the other institution, and contacts.
7. Budget items:
 - a. Is there a targeted bottom line amount?
 - b. Salaries/effort for individuals? (ie. Summer/Academic salary, Post Docs, GSRs (Tuition/Remission), Undergrads, Remote Location Allowance)
 - c. Supplies & Expenses?
 - d. Participant costs? (workshop/conferences)
 - e. Publication costs?
 - f. Equipment/Fabrication? If yes, provide quotes/description and function of fabrication.
 - g. Travel? (Destination, days, meals, lodging and purpose. How many travelers?)
 - h. Sub-award? (Very important, as we will need time to obtain a copy of the SOW and budget from the potential sub-awardee in order to send it to the Business Contracts office for review/approval well before the submission of proposal. Provide the relevant contact and their information).
 - i. Ship time? If yes, which ship?
 - j. Formal cost sharing?
 - k. Export Control
 - i. Working outside U.S., exporting items or working with a foreign entity? If yes, which country?
 - ii. Is there involvement of a foreign entity (sponsor, sub-recipient, collaborator)?
 - iii. Will any equipment, materials, software or technology be exported by UCSD in the course of this project?
 - iv. Does research involve encryption, military International Traffic in Arms Regulations (ITAR) and/or space technology (e.g., satellites, explosives, military training, military vehicles, vessels, and equipment?)
 - v. Does the proposed research involve access to export controlled information or technology such as government or 3rd party confidential information identified as export restricted?