

	<b>Associate Dean for Research and Graduate Studies</b> <b>Universidad Central del Caribe</b>	SOP#	<b>ADR-001</b>
	<b>OADRGS</b>	Last Reviewed/Update	<b>12/09/2020</b>
		Approval by	<b>JG, VC, IA</b>

## PRE-AWARD

### Objective

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The Pre-Award phase represents the beginning of the grant lifecycle, which includes announcing opportunities, submitting applications, and reviewing applications.

Pre-Award Services support the University community in proposal development through value-added, high-quality service and professional partnerships with Principal Investigators in order to facilitate research.

The UCC sponsored program personnel work collaboratively with investigators to prepare grants applications, serving as a dedicated central resource in all matters related to University and sponsor policies for proposal development and submission.

### Services

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Pre-award provide the following services in the support of PIs:

1. Review sponsor guidelines, identify key requirements
2. Assist with budget preparation, related documentation and proposal submission forms
3. Prepare required sponsor administrative forms
4. Ensure that all information included within the proposal is accurate and complete
5. Contact and collaborate with partner institutions to secure all necessary subcontract documentation
6. Assure all regulatory requirements and export control issues are identified
7. Review the final proposal package to ensure all administrative requirements have been met
8. Complete the final submission package, upload final documents and forms, and submit to the sponsor

### Procedures for Implementation and Review

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**1. Funding Opportunity Announcement (FOA):** The first step toward external funding success is the identification of sources of funding opportunities and search for sponsor information. This information is deemed precious particularly to those new to grant seeking processes, or established investigators seeking new funding opportunities. The OADRGS assist the university community in identifying internal funding and the applicable internal competition and/or application process.

- A. The following important specifications such must be considered:
- Is there a limited number of submissions per institution?
  - Does our institution qualify for these funds?
  - Are there any restrictions the applicant must satisfy? For example: citizenship, residency, institutional affiliation, degrees, etc.
  - Are institutional matching funds required? If at the time of proposal submission (deadline) all approvals have not been received, the proposal submission process cannot be completed.
  - Does the deadline fall on a UCC non-working day? How will this be managed?

B. Examine Existing or Prior Awards – It is important for those seeking support for a sponsored project/program to verify in sponsor and university databases (or search engines) if a similar or closely related one is or has already been funded or completed. Representative databases are:

- **NIH RePORTER** – provides a database of biomedical research funded by the National Institutes of Health (NIH),
- **NSF FastLane** – provides information, including abstracts, for awards made since 1989
- **Federal Department of Education** awards can be found in the Award Databases for U.S. Department of Education Grants and Contracts
- **USDA Current Research Information System (CRIS)** – provides information on over 95% of all publicly supported agricultural and forestry research, and some US Geological Survey Research.

**2. Proposal Preparation:** OADRGS is responsible to review the proposal, including these items:

- A. **Accounts Needs** – Identifying if the PI/PD need any account to prepare the proposal.
- a. **eRACommons** – required for NIH proposals and will be worked through ASSIST. (See NIH Guideline to create a new commons account for an individual). Only the Institution Administrator (Ms. Vicmag Cabrera) can create a new account and reset the password.
  - b. **Grants.gov** – required for proposals that will be worked through Grants.gov (NIH, SAMHSA, HRSA, etc.) The PI/PD go to grant.gov and select register. (The PI must follow the registration instructions). In most cases, the PI request to AOR that register on Grants.gov.
  - c. **Fastlane** – required for NSF proposals. Go to research.gov and select register. (The PI must follow the registration instructions)
- B. **Application Forms** - Each FOA has its own unique set of application forms. Commonly use of: SF 424 (R&R), PHS 398, among others. Refer to NIH grants for more information.
- a. Cover Page
  - b. SF 424 (R&R)
  - c. R&R Other Project Information Form
  - d. Project/Performance Site Location Form
  - e. R&R Senior/Key Person Profile (Expanded) Form
  - f. R&R Budget Form
  - g. R&R Budget – Cumulative Budget
  - h. R&R Subaward Budget Attachment Form
- C. **Budget** – special attention should be paid to any requirements specified in the guidelines. The **allowable costs** and format can vary largely from agency to agency and even for different programs within an agency. The Sponsored Program Officer can provide a template to prepare a budget if needed by the PI. OADRGS review that the budget complies with the UCC policies (salaries, fringe benefits, F&A costs, percent effort, facilities fees, approvals, etc.)
- D. **Budget Justifications** – The narrative should provide sufficient detail to allow the sponsor to determine whether the proposed costs are reasonable and appropriate. The OADRGS revise that it matches with the requested budget.
- E. **Budget Items** – Normally, allowable costs could be: Salary, wages and fringe benefits; Equipment; Travel (Domestic/Foreign); Participant/Trainee Support; Other Direct Costs: Materials/Supplies, Publications, Consultant Services, ADP/Computer Services, Subaward/Consortium/Contractual, Equipment or facilities Rentals/Users Fees, Alterations and Renovations, and others.
- F. **Consultants** – revise that include name, organization affiliations, letters of support and Biographical Sketches.

## G. Subcontracts

- a. **UCC is the Prime Recipient:** OADRGS request all necessary documentation.
  - [Subrecipient Commitment Form](#). This form must be signed by the Subrecipient Institution Authorized Organization Representative (AOR).
  - Budget and Budget Justification
  - Biosketches
  - F&A Rate Agreement
- b. **UCC is the Subrecipient Institution** – OADRGS responsibilities:
  - Complete the *Subrecipient Commitment Form* and obtain the President's signature.
  - Prepare Letter of Commitment
  - Obtain the administrative documents (F&A Agreement, Fringe Benefits Certification, System for Award Management (SAM) Registration, etc.)

**3. Approvals and Compliance Issues** – Investigators are responsible for contacting the corresponding Institutional Committee for an orientation about the procedures to obtain the appropriate approvals to perform the specific research. Among these are the Institutional Review Board (IRB), for research involving human subjects; Institutional Animal Care and Use Committee (IACUC), Radiation Safety, Chemical Safety and Biosafety. Once a research plan has been developed, all applicable compliance issues need to be identified and properly addressed.

**4. Protocol Identification Number** – when the PI needs to submit a protocol for any research committee, it is necessary to be given a protocol identification number. The PI will complete the [Universal Number Form](#). The Universal Number can facilitate the communication between committees. This PIN is assigned by the Compliance Officer. See instructions for the process to assign the Universal Number.

**5. Internal Routing Form:** The OADRGS must be sure that the [Internal Routing Form](#) is complete and must include the budget of year one as attachment. The Sponsored Program Officer (SPO) proceed to review and get the required signatures (Department Chair, Associate Dean and President). In addition, the SPO assigns a control number and includes it in the proposals submitted report. This document must be submitted by the PI/PD at least **3 days** before submitting proposal, which does not require institutional commitment (for example matching funds, additional space), and 7 days for those that potentially do.

**6. Proposal Submission:** All submission must be through the UCC Authorized Organization Representative (AOR) of the OADRGS. (See SOP grants submission process) The best time for electronic submission from OADRGS is before 2:00 p.m. (See SOP Grants Submission). In cases where the submission process is not conducted by the AOR, the proposal revision and copies of those proposals are submitted by the PI to the AOR.

**7. Service and construction Proposals:** Make sure if the proposal also needs to be sent to the PR Planning Board. A letter must be prepared and emailed along with the copy of the submitted proposal. The email to which it should be sent is: [spoc\\_pr@jp.pr.gov](mailto:spoc_pr@jp.pr.gov). If it is a service proposal, a single hard copy must be sent. If it is a construction proposal, a single printed copy and three copies must be sent in CDs.

**8. After submission:** All applications submitted to the NIH go to the Division of Receipt and Referral (DRR) within the Center for Scientific Review (CSR).

A. They receive an application identification number, and referred to a first level of review, study section, known as Scientific Review Group (SRG). They are the experts to evaluate the scientific and technical merit of the application according to the FOA. They review it according to NIH Review Criteria and NIH scoring system. A Summary Statement will have the written comments and scores from the assigned reviewers.

B. Collection of Just in Time (JIT) Information: Additional information required by the agency after Scientific Review of a proposal with possibilities of being funded. The AOR is responsible to contact the PI/PD and assists with the

required documents and submitting them via the Just-in-Time function within the eRA Commons. NIH guideline to submitting JIT information. JIT information requested include: Other Support, Certification of Institutional Review Board (IRB) approval, if applicable; Certification of Institutional Animal Care and Use Committee (IACUC) approval, if applicable; human subjects training certification for all key personnel. Questions about the JIT process should be addressed to the grants management specialist assigned to the grant.

C. Second Level of Review - Advisory Council or Board, considers the Institute/Center's goals and needs and advises for funding decisions. The Institute/Center director makes final funding decisions based on staff and Advisory Council advice, and will determine the assignment of funds.

**9. Notice of Award (NOA):** Is the legal document issued to notify the grantee that an award has been made and that funds may be requested from the designated HHS payment system of office. It covers the initial and subsequent budget periods; makes reference to budgetary commitments, and all applicable terms of award. It also provides contact information for the assigned program officer and grants management specialist. NoA is accessible to authorized users in eRA Commons. Acceptance of the award starts with drawing funds from the Payment Management System. The NIH Grants Policy Statement, NIHGPS, contains the requirements for all grant recipients.