

# Proposal Development

Ryan Holland

Director

PreAward and Contracting Services



University of Colorado  
Denver | Anschutz Medical Campus

# Agenda

1. Goals of OGC PreAward Review
2. Application Types
3. Routing Proposals
4. OGC PreAward Review (Proposal Components)
5. Proposal Submission



# 1.) Goals of OGC PreAward Review

- Ensure application has met sponsor administrative requirements for submission
- Ease burden of financial management and reporting in the postaward stage
- Be available as an additional resource in the proposal stage



## 2.) Application Types

- PreApplication process
- Proposal Process
- Continuation/Noncompeting Continuation



# PreApplications

- Also referred to Letters of Intent
  - Letter of Intent can be part of PreApplication
- Sponsor required to evaluate submissions prior to extending an invite to submit full proposal
  - American Heart Association (Select Opportunities)
- Sponsor requires to estimate application volume
  - DOD (LOG Number)
- Sponsor requested to estimate application volume
  - NIH special RFAs



# PreApplications

- When to Route via InfoEd
  - Institutional Endorsement Required
  - Full Budget (Detailed)
- Notify [xenia@ucdenver.edu](mailto:xenia@ucdenver.edu) of Submission
  - Institutional Endorsement Required
  - Estimated Cost (No Detail)
- PI/Dept Submission
  - Estimated Cost (No Detail)
- Sponsor requires CU Denver to agree to specific terms and conditions as part of the PreApplication process
  - Exception Letter
  - Negotiation with the sponsor
  - Processed and reviewed by OGC Contracts Team
  - Routing is determined by level of budget detail required



# Proposals

- Solicitations
  - PI develops response to sponsor guidelines established in a formal announcement
- Unsolicited Proposals
  - PI submits proposal not within the scope of any issued funding opportunity but within the scope of activities of the sponsor
- Limited Submission Proposals
  - Sponsor limits the number of applications that can be submitted by each institution
  - PIs must receive permission from the OVCR before submission to the sponsor
    - *Follow OVCR announcement instructions*
    - *Notify OVCR of limited submission opportunity of interest*
    - *Include approval email from OVCR with proposal routing*



# Continuation or Non-Competing Proposals

- Request for funding for one or more additional budget periods that would otherwise expire
- Can be based on the availability of funds, project performance, and compliance with sponsor requirements





## 3.) Routing Proposals

- Purpose of Routing
- COI Disclosure Requirement
- Prospective Employees
- Routing Timeline
- When to Route
- What to Route



# Purpose of Routing

- Establishes eligibility of an individual to be PI
- Defines the appropriate department/division to receive recognition for the proposal and award
- Identifies the project location. The location of projects subject to the University's negotiated rate agreement determines the appropriate rate to be used.
- Identifies appropriate protocols (Human subjects, animals, environmental safety, etc.)
- Identifies any cost sharing, and whether it is mandatory or obligatory
- Indicates that appropriate financial interest disclosures have been filed
- Provides endorsement of the project by the department and applicable dean.



# COI Disclosure Requirement

All Personnel who meet the definition of a covered individual must complete a CU Denver COI Disclosure Form according to the following requirements

- Within 60 calendar days of being hired
- No later than at the time of application for research funding (i.e., one cannot submit a grant if a current disclosure is not on file with the COIC Office). As this is a Federal policy, no exceptions can be made for this step
- Annually between mid-August and October or upon request by the COI Official
- Within 30 days of discovering or acquiring a new significant financial interest (e.g. through purchase, marriage or inheritance)
- Within 30 days of the occurrence of any trip for which there is reimbursement or sponsored travel



# Prospective Employees

Faculty whose appointment start date is in the future may apply for proposals through CU Denver

- Project start date cannot be prior to the appointment start date
- Routing must include –
  - Signed memo or draft LOO from the appropriate appointing authority that includes FTE, salary and start date
  - UCD eligible PI must also sign off on electronic routing approval
    - *Internal process only*
    - *Do not include information with application package unless person is participating on the project*



# Routing Timeline

- Authorized Organizational Representative Submission
  - Must be received by OGC by the end of the 12<sup>th</sup> business day prior to the sponsor deadline
  - Final submission by the AOR must be received by 4pm on the 4<sup>th</sup> business day prior to the sponsor deadline
- PI/Dept Submission
  - Proposal must be received by OGC 5 full business days prior to the sponsor deadline



# When to Route

- All proposals and contracts involving new money
- Master Agreements, SRA, CDAs or MTAs
- Do not route:
  - Award notices for routed proposals
  - NCEs
  - CF
  - Budget revisions (no additional funds)
  - Contract Amendments that do not add funds
  - Invention Statements
  - Final Progress Reports



# What to Route

- InfoEd routing form
- Sponsor instructions
- All forms and documents required by the sponsor
- Detailed budget pages

\*\*Research plan and any applicable scientific related documents are the only documents that can be routed in draft form



# Items to Route as Applicable

- Subrecipient Documents
- F&A Waiver
  - Submit to [xenia@ucdenver.edu](mailto:xenia@ucdenver.edu) with routing number
- VA MOU
- Preactivation Request
- Salary Increase Verification
- Limited Competition Submission Authorization





## 4.) Proposal Components

- Sponsor Instructions
  - Verify correct attributes (ie. (Proposal Type, Program Type, Instrument Type, etc
  - Submission Type (AOR vs Dept)
  - Deadline Date
  - Funding limit/F&A Restrictions
  - Eligibility
  - Institutional Registrations
  - Cost Sharing
  - Other Submission Requirements



# Proposal Components Cont.

- Sponsor Required Forms
  - Complete/Correct/Applicable Signatures
- Detailed Budget
  - Effort, Salary, Fringe for all personnel
  - Allowable and allocable costs
  - F&A Application
    - *MTDC/TDC*
    - *Rate*



## 5.) Proposal Submission

- Dept. Submitted Directly to Sponsor
  - OGC PreAward has completed review
  - OGC PreAward suggested corrections have been reviewed and addressed
- AOR Submission to Sponsor
  - Notify [eapp.xenia@ucdenver.edu](mailto:eapp.xenia@ucdenver.edu)

