Step One
Know Your Campus Procedure

Jean Linder
Office of Contract & Grant Administration (OCGA)
1. Overview
2. Types of Awards
3. Funding Sources
4. Applying for Grant Applications
5. Resources
Application Process:

- PI locates a potential funding source.
- PI develops the research plan.
- PI and department staff prepare the application.
- OPAFS and funding agency may provide guidance.
- PI registers for eRA Commons, or other proposal portal.
- Sponsored Project Office reviews proposal and submits it after final revisions are complete.

All this takes time!
Plan your proposal well in advance!
Contract & Grant Process Overview

People Involved in the Application Process:

- Principal Investigator (PI)
- Dept Administrative Support Assistant
- Department Business Office
  - Fund Manager
  - MSO/DBO
- Sponsored Projects Office Analyst
  - OCGA
  - HS SPPO
  - SIO
- Funding Agency and Program Officer
- Office of Post-Award Financial Services (OPAFS)
- Office of Postdoctoral and Visiting Scholar Affairs (for PI Exceptions)
UCSD Sponsored Project Offices

UCSD Structure
- General Campus, Health Sciences, and SIO

Offices
- Office of Contract and Grant Administration (OCGA)
- Health Sciences Sponsored Project Pre-Award Office (HS SPPO)
- Scripps Institution of Oceanography Contracts & Grants Office (SIO)
- Veteran’s Memorial Research Foundation (VMRF)
- Office of Research Affairs (ORA)
- Office of Post-Award Financial Services (OPAFS)
Office of Contract and Grant Administration (OCGA):

- Ensures UCSD’s and each sponsoring agency’s contract and grant policies are carried out
- Reviews & submits all proposals from general campus, and all from Health Sciences except NIH or AHRQ grants
- Handles award negotiation & acceptance for all sponsors
- Performs all post-award actions: carry-forward, no-cost extensions, all other required agency prior-approvals
- Arranges for OPAFS to set up fund and index numbers
- Maintains a Web site with staff contacts, funding sources, proposal help, “Vital Information”, and research compliance links

http://ocga.ucsd.edu/
Health Sciences Sponsored Project Pre-Award Office (HS SPPO):

- Reviews, approves, and submits NIH and AHRQ grant proposals, grant sub-award proposals, and Just-in-Time documents for all Health Sciences PIs

- Limited review responsibilities for non-NIH proposals submitted through OCGA for specific proposal items

- Reviews and signs postdoctoral fellowships & faculty scholarship applications for Health Sciences PIs, plus accepts award for all funding agencies where OCGA has determined the award is a fellowship

- [http://vchsgrants.ucsd.edu/hssppo](http://vchsgrants.ucsd.edu/hssppo)
Scripps Institution of Oceanography (SIO):
– Reviews & submits proposals, and accepts awards for SIO PIs

– http://scripps.ucsd.edu/About/Scripps_Administration/Contracts_and_Grants/

Veterans Medical Research Foundation (VMRF):
– Reviews & submits proposals, and accepts awards where preponderance of activity will be carried out in VAMC space, including VA rented space in the Stein building

– Exceptions: NIH K & F awards & some fellowship / scholarship applications MUST be submitted through the appropriate UCSD Central Office

– http://www.vmrf.net/services/cg/cg.html
Other Offices: ORA & OPAFS

Office of Postdoctoral and Visiting Scholar Affairs (under Research Affairs):

- Oversees campus research enterprise including compliance, personnel and initiatives
- Authority for campus PI Exceptions
- [http://research.ucsd.edu/postdocs](http://research.ucsd.edu/postdocs)

Office of Post Award Financial Services (OPAFS):

- Oversees the financial management of UCSD's federal, state, and private contracts, grants, and fellowships
- Advises on allowability of budget items
Types of Awards

Fellowships
- Career Development (F)
- Funding for Individual
- Funding Primarily for Salary/Stipend
- Non-transferable to another PI

Grants
- Research (R) or Career Development (K)
- Funding to Institution
- Transferable to another PI

Cooperative Agreements
- Like grants, but with more sponsor involvement
Types of Awards

Contracts
- Require specific deliverables
- Less flexible than grants
- More complex to propose and administer

Sub-awards (Consortia)
- Portion of a project awarded to another organization
- Fewer proposal components
- Earlier deadlines

Gifts
- Limited terms and conditions
Locating Funding Sources

Identify Funding Agencies

- The Federal Government
- Non-Profit Agencies
- The State of California
- For-Profit Industry
- The University of California (UC) Programs
- Foreign Agencies
Locating Funding Sources: Search Tools

UCSD Research Affairs - SURF:
- Links to various search engines and lists of special funding opportunities
  - [http://research.ucsd.edu/surf/index.html](http://research.ucsd.edu/surf/index.html)

OCGA:
- Click on the “Funding” tab for lists of sponsors and search tools
  - Sponsors: [http://ocga.ucsd.edu/Funding/Sponsors.htm](http://ocga.ucsd.edu/Funding/Sponsors.htm)
  - Tools: [http://ocga.ucsd.edu/Funding/Search_Tools.htm](http://ocga.ucsd.edu/Funding/Search_Tools.htm)

HS SPPO:
- Links to weekly lists of HS-related Funding Opportunities
  - NIH PAs and RFAs:
    - [http://som.ucsd.edu/hssppo/funding-opportunities/weekly-nih-funding-opportunities](http://som.ucsd.edu/hssppo/funding-opportunities/weekly-nih-funding-opportunities)
  - Fellowships, Grants, Prize Opportunities:
Locating Funding Sources: Search Tools

Grants.Gov:
- All Federal agencies, including NIH, list their funding opportunities here, though it is highly suggested to go directly to the individual agency website.
  - www.grants.gov

NIH Guide for Grants and Contracts:
- Official publication for NIH research grant policies, guidelines and funding opportunities

Science Magazine’s GrantsNet:
- http://sciencecareers.sciencemag.org/funding
Locating Funding Sources: Search Tools

Altum Proposal Central:
- Mostly private agencies which subscribe to Proposal Central’s proposal submission service
- [https://proposalcentral.altum.com/](https://proposalcentral.altum.com/)

UC Special Research Programs:
- Includes the CBCRP, TRDRP, and CHRP CA statewide programs
- [http://www.ucop.edu/research/rgpo/funding.html](http://www.ucop.edu/research/rgpo/funding.html)

DOD Congressionally Directed Medical Research Programs
Locating Funding Sources: Other Sources

NIH “F” Award & “K” Award Kiosks
- [http://grants.nih.gov/training/F_files_nrsa.htm](http://grants.nih.gov/training/F_files_nrsa.htm)
- [http://grants.nih.gov/training/careerdevelopmentawards.htm](http://grants.nih.gov/training/careerdevelopmentawards.htm)

Professional Societies & Organizations in your field that you or your mentor may belong to

Your mentor & your colleagues can be valuable resources for learning about additional funding opportunities.
Locating Funding Sources: Early-Career

Special opportunities for new investigators:

- NIH New and Early-Stage Investigator Policies
- NIH Career Awards (K series)
- NIH Pathway to Independence (PI) Award (K99/R00)
- NSF Faculty Early Career Development (CAREER) Program
- DOD/ONR/AFOSR/ARO Young Investigator Program (YIP)
- American Heart Association National Scientist Development Grant Program
- Consortia (sub-awards) with other institutions
Locating Funding Sources: Early-Career

Search Google:

- Young Investigator Awards in cancer and neuroscience:
  - [http://bbrfoundation.org/narsad-young-investigator-grant](http://bbrfoundation.org/narsad-young-investigator-grant)
  - [http://www.pcf.org/site/c.leJRIROEpH/b.5800785/k.78A5/Young_Investigator_Awards.htm](http://www.pcf.org/site/c.leJRIROEpH/b.5800785/k.78A5/Young_Investigator_Awards.htm)
  - [http://www.ctf.org/For-Scientists/young-investigator-awards.html](http://www.ctf.org/For-Scientists/young-investigator-awards.html)
  - [http://www.conquercancerfoundation.org/cancer-professionals/funding-opportunities/young-investigator-award](http://www.conquercancerfoundation.org/cancer-professionals/funding-opportunities/young-investigator-award)

- New Investigator Funding – lists maintained by others
  - [http://www.spo.berkeley.edu/Fund/newfaculty.html](http://www.spo.berkeley.edu/Fund/newfaculty.html)
  - [https://wiki.brown.edu/confluence/display/advance/Funding+for+New+Investigators](https://wiki.brown.edu/confluence/display/advance/Funding+for+New+Investigators)
Grant Application: PI Eligibility

Determine Your Eligibility to Submit the Proposal

- Sponsor’s requirements
  - Type of institution (UCSD is a public institution of higher education.)
  - PI qualifications & effort requirements

- UCSD’s requirements for PI eligibility
  - Certain job titles are automatically eligible (faculty senate members)
  - Others require an approved PI Exception Request
    - Postdoctoral Scholars, Project Scientists, Specialists
    - Adjunct Professors & Clinical Professors (if unsalaried)
    - Staff or Students (graduate or undergraduate)
Grant Application: PI Eligibility

Submitting a PI Exception Request

- PI Exception Forms and instructions:
  - [http://ocga.ucsd.edu/Forms/All_Forms.htm#PI](http://ocga.ucsd.edu/Forms/All_Forms.htm#PI)
  - Completed form must be signed by PI and department chair

- Submit form to the correct office 10 days prior to the application deadline
  - Health Sciences: submit to HS SPPO
  - General Campus: submit to David DeSpain, OPVSA
  - Scripps Oceanography: submit to SIO-Academic Personnel, Mail Code 0210
Grant Application: Sponsor Requirements

Start early so you can meet the Sponsor’s deadline

– Read the sponsor’s instructions carefully!!!! **Read & re-read!**
– Plan to get reviews of your draft from colleagues & mentors.
– Allow time for the appropriate Sponsored Project Office to review the proposal.
– Proposals for sub-awards often must meet earlier deadlines.

Work with the Funding Agency’s Program Officer

– They welcome the chance to discuss your research. Call them!
– They can provide valuable guidance to other funding opportunities.
– They can provide tips for proposal preparation.
Grant Application: Compliance Issues

Research Independence
- Financial Conflict of Interest
- Training in Responsible Conduct of Research or Research Ethics

Research Subjects
- Human Subjects
- Training in Human Subjects Research
- Animal Subjects
- Human Embryonic Stem Cells

Government Regulations
- EH&S (i.e. biohazardous materials)
- Export Control
- Select Agents
- Tobacco-Related Research
Grant Application: People Who Can Help

- Your department Business Office must review budgets and personnel
- Your department Chair must approve the research project and the effort of academic personnel
- The Contract and Grant Offices will review proposals for compliance with University and Sponsor Policies, and obtain approvals for space and any research subjects
- OPAFS will provide answers about allowable costs, and do the accounting for any resulting awards.
Grant Application: Which Contract & Grant (C&G) Office?

- General Campus PIs submit through **OCGA**.
- Health Sciences PIs submit **NIH/AHRQ grant** and grant sub-award proposals through **HS SPPO**.
- Health Sciences PIs submit **Non-NIH grant proposals** and **all contract proposals** (including NIH) through **OCGA**.
- SIO PIs submit through **SIO C&G**.
- If over 50% of a research project will be conducted in **VA** space, all PIs submit through **VMRF**.
Grant Application: Plan the Budget

- **Determine Sponsor’s budget limits**
- **Typical Budget Items**
  - Personnel: salaries, fringe benefits, tuition remission
  - Equipment
  - Supplies
  - Travel
  - Patient Care Costs
  - Alterations and Renovations
  - Other Expenses: publication, recharges, animal care, rent
  - Consortium Costs
  - IDC/F&A Costs
  - Budget Justification
Grant Application: Plan the Budget

A UCSD Budget Form is available if none is supplied by sponsor:

– [http://ocga.ucsd.edu/Forms/All_Forms.htm#Budget](http://ocga.ucsd.edu/Forms/All_Forms.htm#Budget)

OCGA website has rate tables for many budget items:

– Salary escalations
– Fringe benefits
– Tuition remission
– NGN computing/communication costs
– Indirect costs
– [http://ocga.ucsd.edu/Welcome_Page.htm#](http://ocga.ucsd.edu/Welcome_Page.htm#) (Budgets Tab)
Grant Application: Plan the Budget

Direct Costs:
- Costs that can be specifically identified with a particular project or activity, such as salaries, benefits, equipment, supplies, travel, campus service recharges, and sub-awards.

Indirect or F&A Costs:
- Costs that are incurred by an institution for common objectives that cannot be identified specifically with a particular project, such as buildings, utilities, libraries, and OCGA.
- IDC/F&A costs are calculated as a percentage of the Modified Total Direct Costs, which exclude certain items such as equipment, tuition remission, and rent.
Plan the Budget - Special Considerations

– Personnel Effort vs. Salary

– Equipment: Look for campus shared facilities and equipment at http://research.ucsd.edu/sharedfacilities/

– Patient Care

– Tuition Remission

– Communications and Computing Costs (NGN)

– Subcontracts / Subawards
Grant Application: UCSD Internal Forms

Complete the Required UCSD Forms

- UCSD Proposal Number (on-line via Blink Research tab)
- Request for Extramural Support (RES) Form
- Conflict of Interest Form 9510 or 700-U
- PI Assurance Form for NIH Grants
- PI Exception form (if needed)
- UCSD Signature Page, if not provided by Sponsor
Complete the Required UCSD Forms (cont)

- Budget Backup (as applicable)
  - Salary calculations
  - IDC/F&A calculation
  - NIH Modular Budget Worksheet
  - Joint UCSD/VA effort calculation

- Find UCSD forms at: [http://ocga.ucsd.edu/Forms/All_Forms.htm](http://ocga.ucsd.edu/Forms/All_Forms.htm)
Grant Application: Complete the Sponsor’s Forms

Typical Sections
- Face Page or Signature Page (Get “Vital Information” from OCGA web site)
- Abstract or Statement of Work (SOW)
- Budget and Budget Justification
- Biographical Sketch or CV for Key Personnel
- Current & Pending Other Support for Key Personnel
- Facilities & Equipment
- Research Plan

Formatting can be Critical
- Page limits, margins, font type, font size, and font color
- Attachments
- Paper or electronic submission
Different systems are used by different sponsors.

- Grants.gov: Most Federal Agencies (i.e., NIH)
- FastLane: NSF
- FedConnect: DOE, DOI
- Proposal Central: Many Private Sponsors, UC agencies
- eRA Commons: NIH/AHRQ/CDC
- Grants@Heart: American Heart Association
Grant Application:
Learn about Electronic Submission

Find out in advance if registration or passwords are required.

- eRA Commons registration for UCSD affiliates:
  • http://ocga.ucsd.edu/Proposals/NIH/eRA_Commons.htm
  • Contact Angela Logan at x45891 or alogan@ucsd.edu

- UCSD is already registered for Grants.gov. PIs do not register.

Proofread!
Sponsors’ automated validation procedures are unforgiving of trivial errors!!!
Grant Application: Internal Review

Send Draft of Proposal + UCSD Internal Forms to OCGA/HSSPPO/SIO for Review

- Please allow at least 3 business days prior to the sponsor’s deadline for proposal review & for approval routing for space and any research subjects

- Choose the appropriate routing mode: paper or electronic (EPRS or email)

- The reviewing office will review & provide comments to the department contact
Grant Application: Submission

Prepare Final Proposal Ready for Submission

- Make all corrections recommended by OCGA/ HSSPPO/SIO
- Provide the appropriate number of copies
- Send final proposal to OCGA/HSSPPO/SIO prior to the electronic deadline or mail service pick-up deadline
- If applicable, remain available until proposal has been received and validated by sponsor
Grant Application

Respond to Any Further Agency Requests

- Just-in-Time (NIH)
- Revised budgets

Wait for the Award to Arrive

- Time between submission & award may take 9-10 months
- All awards must be sent to OCGA/SIO for processing
- OCGA will work with OPAFS to set up index and fund numbers
- OCGA will distribute the Notice of Award or Contract Agreement to the PI’s department contact
Resources: UCSD

- OCGA: http://ocga.ucsd.edu/
- OCGA eLearning: http://ocga.ucsd.edu/eLearning/Overview.htm
- HS SPPO: http://vchsgs grants.ucsd.edu/hssppo
- HS SPPO Wiki: http://som-qa2.ucsd.edu/twiki/bin/view/HSSPPO/WebHome
- Research Affairs: http://research.ucsd.edu/
- Office of Postdoctoral and Visiting Scholar Affairs: http://research.ucsd.edu/postdoc/
- Human Subjects: http://irb.ucsd.edu/
- Research Ethics: http://research.ucsd.edu/ethics/index.html
- Stem Cell Research: http://escro.ucsd.edu/index.html
- Conflict of Interest: http://coi.ucsd.edu/
- OPAFS: http://blink.ucsd.edu/sponsor/BFS/divisions/opafs/
Resources: Sponsors

- NIH Office of Extramural Research: http://grants.nih.gov/grants/oer.htm
- NIH Research Career Development: http://grants.nih.gov/training/index.htm
- NIH New and Early Stage Investigators: http://grants.nih.gov/grants/new_investigators/index.htm
- AHA: http://my.americanheart.org/professional/Research/Research_UCM_316889_SubHomePage.jsp
Thank you

Jean Linder  
UCSD/OCGA  
(858) 534-0244  
jclinder@ucsd.edu

Presentation hosted by:

Contact: Jennifer Oh (858) 534-6632; jmoh@ucsd.edu