



Subject: Grant Pre-Award Processing Guidelines & Procedures

Date First Put into Effect: March 25, 2008
Date of Latest Revision: February 1, 2015
To: CHIP PIs, Staff, & Students
From: CHIP Director & Associate Director

These guidelines and procedures are in effect until superseded.

➤ **CHIP Business Unit Staff Responsible for Grant Pre-Award Processing**

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➤ **Purpose**

- To provide guidance on the preparation of the pre-award proposal to ensure that it is submitted to Sponsored Program Services (SPS) accurately and on time
- To ensure that the **Internal Proposal Review Form**, the **Significant Financial Interest Review Form**, and other relevant forms are completed accurately and accompany the proposal.

➤ **Overview of Procedures**

* **IMPORTANT NOTE:** In order to submit a grant through CHIP, a Principal Investigator (PI) must be a CHIP affiliate.

- The PI should complete the **Request for CHIP Pre-Award Grant Services Form no later than two weeks before the application due date**. This form can be obtained from the CHIP website under "CHIP Services/Grant Management Support." The website address for the Grant Management Support page is:

<http://www.chip.uconn.edu/chip-business-office/grant-management-support/>

- Once the form is submitted, ~~the~~, the request and abstract will be forwarded to CHIP Directors for review.
- The Directors, or their designees, must review and approve the **Request for CHIP Pre-Award Grant Services Form** and grant abstract, certifying that the project is consistent with the mission of CHIP and that no commitments of University resources are made other than those described.

- Once the proposed project has been approved by the Directors (or their designees), the CHIP Grants Team will contact the PI to start working on the preliminary steps for the proposal (see below) before submitting it to Sponsored Programs Services (SPS).
- SPS will conduct the final review of the proposal to ensure that it is in compliance with Federal, State, and University regulations before submitting it to the sponsor.

➤ **Budget and Documentation Submission to CHIP**

1. **SPS REQUIREMENTS** – Ann will oversee completion of the **Internal Proposal Routing (IPR)** form and **Significant Financial Interest Review (SFIR)** form(s). All key personnel that are UConn employees named in the proposal (Co-Investigators, graduate students, etc.) must sign an SFIR form prior to proposal submission to SPS.
2. **BUDGET** - As early as possible, the CHIP Grants Team will work collaboratively with the PI to create a preliminary budget.
3. **BUDGET JUSTIFICATION** - The PI must prepare a budget justification and provide it to the CHIP Grants Team as early as possible in the process. With the exception of the NIH modular budget, SPS requires a detailed budget, all items must be included in the budget and budget justification. . The PI must provide adequate justification for items such as equipment, consultants (hourly fee), research supplies, postage, participant incentives, photocopying, travel, subcontracts, etc. The PI must also provide adequate justification for items that are normally paid by indirect costs such as office supplies and cell phones. The PI may have to obtain special approvals for some items (e.g., cell phones) from his/her program officer, as this is a recent requirement of SPS Pre-award. For the NIH modular budget, the personnel justification is all that is required to be submitted to SPS.
4. **UCONN AS SUBCONTRACTOR** - If the UConn PI is going to be a subcontractor to another institution, the **Cooperating Institution Consortium Statement** will need to be signed by the PI and routed to SPS.
5. **SUBAGREEMENTS WITH OTHER INSTITUTIONS** - If there is going to be one or more subcontracts from other institutions, the CHIP Principal Investigator (PI) must get a **very early** start obtaining budgets and approvals from each subcontractor. For each subcontracting PI, a **Subrecipient Checklist and Consortium Statement** must be signed by that PI and by an Authorized Representative from that institution. The CHIP Grants Team will need the fiscal contacts from each institution in order to facilitate the subagreement process.
6. **CONSULTANTS** - If there are named consultants, the PI needs to obtain letters of intent from each named consultant prior to the submission to SPS. In addition, the PI must provide information about each consultant's hourly rate and anticipated hours per week per year that each consultant will be working.
7. **BIOSKETCHES** - Biosketches for NIH proposals have a very specific set of requirements. The CHIP Grants Management team will provide the PI with an example (if needed) to give to all of the key personnel who will be required to complete a biosketch. The PI must ensure that all biosketches are properly formatted according to sponsor requirements.

8. **CHIP RESOURCE NEEDS** – The PI must specify what CHIP resources he/she will need in order to conduct this research, if funded (e.g., CHIP office space, CHIP IT needs).
9. **RESEARCH PLAN** – SPS requires that a draft of the research plan be provided.
10. **ELECTRONIC SUBMISSION** – A draft version of the full application should be sent to the CHIP Grants Team at least **7 business days** (2 days for CHIP processing plus 5 days required by SPS) prior to the due date so that the documents can be reviewed and uploaded to get approval from SPS. The final proposal should be sent to the Grant Team at least **7 business days** before the due date.
11. **PAPER SUBMISSION** - The completed proposal should be sent to the CHIP Grants Team at least **7 business days** before the due date to get signature approval from SPS, and to ensure that the paper proposal is sent to the sponsor prior to the deadline.

➤ **Proposal Submission to SPS**

- SPS must receive proposals and supporting documents at least **5 business days** prior to the program deadline to ensure sufficient time to review and sign. These include **Internal Proposal Review** form, **Significant Financial Interest Review** form, budget, budget justification, and abstract.
- SPS may have questions for the CHIP Grants Team and the PI. Therefore, it is necessary that the PI be available during this period to answer questions in order to expedite approval of the proposal.

➤ **Proposal Submission to Sponsor**

- Often SPS recommends corrections to proposals. Typically these recommendations are changes to the budget pages, along with corrections to other areas (e.g., improper formatting of biosketches, not meeting specific page numbering requirements, etc.). The PI needs to leave sufficient time to work collaboratively with the CHIP Grants Team on making the required changes to finalize the proposal. The PI should plan on completing tasks such as finalizing the Table of Contents, page numbering the entire document, and appendix preparation.
- It is the PI's responsibility to originate, prepare, and finalize the proposal. The CHIP Grants Team will assist with this process, but ultimately the PI is responsible for creating a completed proposal package that meets all the sponsor requirements.
- Prior to submitting the proposal to the sponsor, the PI must provide a statement in writing that he/she has reviewed all of the documents, that the documents are ready for submission, and that the PI is responsible for any errors in the documents that are submitted to the sponsor.
- For frequently requested information about UConn (Authorized University Officials, F&A Rates, FWA number, DUNS number, etc.), go to SPS's webpage at <http://research.uconn.edu/sps-proposals/proposal-preparation-guidelines/frequently-requested-info/>

➤ **University Closing and Sponsor Deadlines**

- **Sponsored Program Services closes its offices at 5:00 pm, Monday through Friday. Therefore, if SPS is submitting a PI's proposal electronically, SPS must submit it by 5:00 pm, even if the sponsor deadline is midnight.**
- In the event of a University closing (due to inclement weather, power outage or other emergency), Sponsored Program Services will be closed. In this situation, the PI with a grant deadline during that period of time is responsible for contacting the funding agency for an extension of the deadline date.
- Please let SPS know if an extension was requested and approved by the program officer. If an extension was granted, SPS will work with the PI to get the proposal submitted prior to the new deadline.

➤ **Note**

- **Please note that all INTERNAL UConn grant proposals should be submitted and managed by academic departments. Only external grant proposals are submitted and managed by CHIP.**