OCGA Forum Agenda

• Foundation Relations

• OCGA Proposal Review

• OCGA Tips and Tricks

• NSF Award Transfers

• Quiz

• Questions
Proposal Review Guidelines

• Provide OCGA a venue to be transparent with our customers on the proposal review guidelines for C&G Officers.

• Ensure consistent and integrity based expectations for all of OCGA.

• Outlines the required documents needed for proposal review, areas of a proposal that C&G Officers are responsible for reviewing, and level of review for each component of a proposal.

• Assist C&G Officers in verifying that a proposal conforms with institutional policies, and guidelines of the sponsor, including federal regulations when applicable.

• Provide C&G Officers an easy-to-use reference when reviewing proposals.
Proposal Review Guidelines

Transparency.

Consistency.
Proposal Review Guidelines

• The guidelines are not a change to OCGA’s proposal review process. They articulate the expectations of OCGA leadership and practices of C&G Officers.

• It is a living document subject to change with feedback from our customers and C&G Officers.

• It will be expanded to include tools that will benefit C&G Officers and research administrators in the department (e.g., checklists, roles and responsibility matrix, etc.).

• Reviewed regularly to ensure the guidelines are up-to-date, meet campus and sponsor expectations, and represent OCGA’s commitment to facilitate research.
Proposal Review Guidelines

Living document.

Reviewed regularly.
Proposal Review Guidelines

• C&G Officers are responsible for reviewing and endorsing extramural proposals on behalf of The Regents of the University of California ("Institutional Review").

• OCGA does not serve as a quality control point for non-institutional issues.

• Institutional Review will ensure that projects conducted by University employees, or with the use of University resources or facilities comply with the relevant University policies and guidelines, including but not limited the following:
  • cost-sharing;
  • intellectual property;
  • conflict of interest;
  • recovery of costs (both direct and F&A);
  • export controls.
Proposal Review Guidelines

Institutional review.

Compliance.
Proposal Review Guidelines

• Proposal reviews must be conducted in a facilitative manner and will focus only on:
  • institutional issues
  • sponsor policy issues
  • issues related to federal regulations and applicable laws

• C&G Officers are expected to use reason at all times when analyzing issues to determine the level of risk to the institution.

• If the risk associated with an institutional issue is low and it is reasonable to address and resolve the issue after proposal submission, the C&G Officer will sign and submit the proposal then address and resolve the issue.

• All correspondence concerning the proposal review must be in writing and should be directed to the Principal Investigator and Fund Manager.
Proposal Review Guidelines

Facilitative review.

Institutional risk.

Written communication.
Proposal Review Guidelines

• OCGA must have the following documents to initiate the review process:
  1. Extramural Sponsor's FOA or the URL for the FOA
  2. All proposal documents required to be submitted to the sponsor in accordance with FOA

• The following should be as close to final as possible:
  a. Application face page (if applicable)
  b. Detailed Budget and budget justification
  c. Subrecipient proposal package (if applicable), consisting of:
     • Subrecipient Commitment Form if the subrecipient is not in the FDP Expanded Clearinghouse
     • Scope of work specific to the subaward site;
     • Budget and budget justification specific to the subaward site
     • Other subrecipient documents as required by the Extramural Sponsor’s FOA

All other proposal sections and elements, including the scope of work, may be in draft form.
Proposal Review Guidelines

Institutional Proposal Review:

1. Review the sponsor’s guidelines (e.g., program announcement, requests of application, sponsor’s application instructions, etc.) to understand the sponsor’s requirements and policies

2. Verify institutional eligibility per sponsor requirements (i.e., verify that UCSD meets the program’s eligibility requirements)

3. Determine if UC San Diego must submit certifications, assurances, or representations, and if so, confirm that UCSD complies with the certifications
Proposal Review Guidelines

Institutional Proposal Review:

4. Identify issues related to institutional commitments or concerns including, but not limited to:
   a. Cost sharing
   b. Special institutional or regulatory approvals
   c. F&A cost rate limitations

5. Determine if the sponsor’s policies are consistent with UC and UC San Diego’s governing principles, policies and practices

6. Verify that data contained in the ePD record is consistent with the proposal
Proposal Review Guidelines

Institutional Proposal Review:

7. Ensure institutional codes and project specific information is accurately completed on the proposal Face Page/Cover Page/Application Face Sheet

8. Review the SOW to become familiar with the proposed project – C&G Officers review for intellectual property concerns, export control issues, inappropriate institutional commitments, etc.

9. Verify that proposed costs are consistent with campus and federal cost principles by reviewing the detailed budget and justification

10. Verify that all required components and attachments detailed in the sponsor’s guidelines are included in the proposal
Proposal Review Guidelines

Post proposal review requirements:

1. Communicate the institutional issues and concerns identified during the proposal review to the PI and department in writing (i.e., proposal review notes)

2. Electronic proposals that do not require electronic OCGA endorsement or submission:
   - Upon review and receipt of the final proposal, provide the proposal cover letter or other written approval to the PI and Fund Manager as indication of the endorsement of the proposal by OCGA

3. Electronic proposals requiring endorsement and/or submission by OCGA:
   - Electronically sign and submit the final version of the proposal
   - Email submission confirmation to Fund Manager and PI if applicable
Proposal Review Guidelines

Key concepts: transparency, consistency, living document, regularly reviewed, compliance, institutional and facilitative review, institutional risk, and written communication.
OCGA Tips and Tricks

• Utilizing NIH ASSIST for NIH proposals rather than Grants.gov Workspace can reduce the number of errors experienced at the submission stage.

• OCGA’s **Staff Assignments Tool** and service line descriptions are great resources to ensure that you are reaching out to the correct C&G Officer.

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**Officer**
- Direct Federal: Grants, Cooperative Agreements, Fellowships*
- Direct University of California (UC) Programs

**Senior Officer**
- Flow-through Federal: Incoming Subaward Grants*
- Flow-through UC Programs: Incoming Multi-Campus Awards (MCAs)
- Non-Profit Agreements (Incl. Fellowships)

**Principal Officer**
- Direct / Flow-through Federal: Contracts and Incoming Subaward Contracts / MCAs, and Other Transaction Agreements (OTAs)
- Industry Agreements (Incl. Fellowships, PI-initiated Clinical Trials)
- California & Other Government Agreements
- Foreign Government Agreements

*Exception: NIH/AHRQ grant and subaward grant proposals for Health Sciences investigators are submitted by [HS SPPO](#)
OCGA Tips and Tricks

• If a department completes the subaward forms (e.g., subrecipient commitment form) prior to sending to OCGA, it helps expedite the proposal submission process.

• Please send your C&G Officers the Fund Manager assignments for your departments if you have not already. It helps us ensure that we are contacting the appropriate person.

• OCGA’s Institutional Information will provide you with the codes and information about UCSD needed for proposal forms.
Please feel free to reach out to me at jswarner@ucsd.edu or your Contract and Grant Officers with any additional questions.
Where should I go for this agreement?

UCSD OCGA teams and assignments
August 2018
OCGA has four major teams

• Business Systems & Strategies – OCGA operations, business systems, award set-up / processing
• Health Sciences Contracts and Grants / MTA team – proposed and funded research for Health Sciences departments, material transfer agreements
• General Campus Contracts and Grants – proposed and funded research for General Campus departments
• Business Contracts – outgoing subawards, incoming service agreements for General Campus departments, unfunded agreements, ADCS contracting
So you got an agreement...

- What does the title of the agreement say?
- What is the purpose of the agreement?
- Is there money involved?
- If yes, in what direction is the money going? (Coming into the University? Leaving it?)
I have a proposal or an agreement for UCSD to receive money. Where do I go from here?

• Is the purpose of the proposal or agreement for UCSD to receive money for research, training, a fellowship, or other sponsored activities?

• If yes, create an ePD record (epd.ucsd.edu). The ePD system will automatically route to the correct department (OCGA, HSSPPO, SIO, or OCTA), to the correct OCGA team (Health Sciences or General Campus), and to the correct OCGA service line for proposed or funded research activities.

• OCGA service lines for proposed or funded research or other sponsored activities: [https://blink.ucsd.edu/sponsor/ocga/guide/sponsored-research/service-lines.html](https://blink.ucsd.edu/sponsor/ocga/guide/sponsored-research/service-lines.html)

• Note: most graduate student fellowships (including NIH F31s) are handled by UCSD Graduate Division and do not need to go through ePD.
  • Exception: graduate student fellowships for HS professional degrees (e.g. MD, PharmD, MD/PhD students) are not handled by Graduate Division, create ePD record for correct routing.

• If the proposal or agreement is for a gift, talk to UCSD Advancement Services.
I have an agreement. The other party wants to give us money for performing a service (not conducting research). Where do I go from here?

• This is known as an incoming service agreement.

• If you are from a Health Sciences department, contact the Health Sciences Office of Business Contracting: https://medschool.ucsd.edu/vchs/research-services/business-contracting/Pages/default.aspx

• If you are from a General Campus department, fill out the OCGA Incoming Service Agreement Request eform: http://blink.ucsd.edu/buy-pay/contract-svcs/service-agreements/form.html

• After you fill out the eform, an OCGA Business Contracts officer will be assigned. This does not follow the OCGA sponsored research service line contacts as this is a different team.
I have an agreement. The purpose of the agreement is to exchange materials. Where do I go from here?

• Material transfer agreement – PI to either receive or send materials
• Create a new eMTA request: [http://blink.ucsd.edu/research/conducting-research/mta/index.html](http://blink.ucsd.edu/research/conducting-research/mta/index.html)
• The OCGA MTA Helpdesk will triage the eMTA request to the correct office (OCGA or OIC) and to a contract officer
• For all Incoming MTAs and MTAs to send outgoing human materials – OCGA Health Sciences/MTA team handles, but this does not follow the OCGA sponsored research service lines. MTA will be assigned to an officer by complexity of agreement.
• For outgoing UCSD-owned materials or materials modified at UCSD – the Office of Innovation and Commercialization (OIC)
I have an agreement. There is no money or materials involved. Where do I go from here?

• What is the purpose of the agreement? (What will it do?)

• Unfunded agreements handled by OCGA Business Contracts: non-disclosure / confidential disclosure agreements, data use agreements, software license agreements, equipment loan agreements, memorandum of understanding/letter agreements, teaming agreements, unfunded collaboration agreements
  • Some exceptions: CDAs for a company to discuss a UCSD invention (OIC), CDAs/MOUs related to an OCTA clinical trial (OCTA), etc

• Fill out the OCGA unfunded agreement eform: http://blink.ucsd.edu/research/preparing-proposals/sponsors/industry/unfunded-request.html

• After you fill out the eform, an OCGA Business Contracts officer will be assigned. This does not follow the OCGA sponsored research service line contacts as this is a different team.
I have an agreement. It’s to pay the other party. The funds originate from sponsored research. Where do I go from here?

• Is this to pay the other party for conducting research on a UCSD research project?
• Is the other party in question a fellow UC sister campus?
• If yes to both, this is an outgoing multi-campus agreement.
• OCGA multi-campus page: http://blink.ucsd.edu/research/managing-awards/award-administration/mca/index.html
• Fill out the OCGA Business Contracts Outgoing multi-campus award request eform: http://blink.ucsd.edu/research/managing-awards/award-administration/mca/form.html
• After you fill out the eform, an OCGA Business Contracts officer will be assigned. This does not follow the OCGA sponsored research service line contacts as this is a different team.
• Remember, this is an agreement for paying another UC campus for conducting research on a UCSD project. If to receive money from a fellow sister campus for research, create an ePD record and follow the OCGA sponsored research service line contacts.
I have an agreement. It’s to pay the other party. Where do I go from there?

• For all other outgoing subawards for research that are not to another UC campus, create an iRequest via Marketplace. For instructions on how to do so, see: [http://blink.ucsd.edu/research/managing-awards/award-administration/subcontract-subaward/index.html](http://blink.ucsd.edu/research/managing-awards/award-administration/subcontract-subaward/index.html)

• After you submit the iRequest, an OCGA Business Contracts officer will be assigned. This does not follow the OCGA sponsored research service line contacts as this is a different team.

• Remember, this is for paying another institution (non-UC) for conducting research on a UCSD research project. If to receive money from a subaward, create an ePD record and follow the OCGA sponsored research service line contacts.
I have an agreement. It’s to pay the other party. Where do I go from there?

- If you are trying to pay another institution for performing a service, this is known as a procurement contract.
- Handled by Office of Integrated Procure to Pay Solutions (IPPS) Strategic Procurement team, not by OCGA
- List of commodities by Procurement team: https://blink.ucsd.edu/buy-pay/responsible/who/prof-buyer/commodity-listing.html
Who do I go to for this agreement?

- OCGA has multiple teams, and the OCGA department model sponsored research service lines contacts apply only for proposed or funded research or other sponsored activities where UCSD is receiving money

- If not a sponsored research activity, there may be a different OCGA team involved or it might go to a different office

- Fill out the correct online form/system (ePD, eMTA, OCGA eform, iRequest, etc) in order to kick-off the process

- If you send the agreement to the wrong team without the necessary form submission, there may be a delay as it gets sent to the correct team, who will then ask you to fill out the online form appropriate for that type of agreement

- There are understandably grey areas – contact the OCGA team most likely to be experienced with what the agreement is trying to accomplish. E.g. for an unfunded collaboration agreements with an exchange of materials, you can contact either OCGA MTA Helpdesk or OCGA Business Contracts, and the team you contact will look at and discuss with the other team.
OCGA contact information

• Website: [http://blink.ucsd.edu/sponsor/ocga/index.html](http://blink.ucsd.edu/sponsor/ocga/index.html)
• Now updated to clarify sponsored research activities (proposals and awards) and ancillary research agreements (MTAs, unfunded agreements, outgoing MCAs/subawards, incoming service for General Campus
• OCGA general office email: [ocgainfo@ucsd.edu](mailto:ocgainfo@ucsd.edu), x43330
• OCGA proposed or funded sponsored research or other activities: [http://blink.ucsd.edu/sponsor/ocga/guide/sponsored-research/service-lines.html](http://blink.ucsd.edu/sponsor/ocga/guide/sponsored-research/service-lines.html)
• OCGA MTA Helpdesk: [MTAHelpDesk@ucsd.edu](mailto:MTAHelpDesk@ucsd.edu)
• OCGA Incoming Service Agreements: [UCSD-Provided-Svcs@ucsd.edu](mailto:UCSD-Provided-Svcs@ucsd.edu)
• OCGA Outgoing Multi Campus Awards (UC only): [multicampusawards@ucsd.edu](mailto:multicampusawards@ucsd.edu)
• OCGA Outgoing Subawards (non-UC): [subawards@ucsd.edu](mailto:subawards@ucsd.edu)
• OCGA Unfunded Agreements: [ocgacontractsupport@ucsd.edu](mailto:ocgacontractsupport@ucsd.edu)
OUTGOING AWARD TRANSFER

To request continued support at a new institution, the PI must notify the NSF Program Officer to request preliminary approval for the transfer.

If NSF and both institutions agree, formal notification of the impending transfer should be electronically initiated by the PI through Fast Lane/Research.gov. The request shall include a:

- Brief summary of progress to date
- Description of work to be accomplished at the new institution.
- Completed on-line transfer request, including total estimated disbursements to date (transfer amount will be automatically calculated, based on the amount entered in total estimated disbursements). The relinquishing institution is responsible for including in the total estimated disbursements.
- Detailed line item budget for the transfer amount and any outstanding continuing grant increments. The most current Federal Cash Transaction Report must be posted to NSF’s financial accounting system prior to submitting the transfer request.

The relinquishing grantee institution will need to electronically route the transfer request to the new institution to complete the process.
INCOMING AWARD TRANSFER

The new institution, in collaboration with the PI, will need to complete the request by:

- Providing a detailed budget and budget justification for the transfer amount agreed to by both organizations. Upon transfer of the grant to the new organization, any monetary discrepancies must be resolved between the original and the new grantee. NSF will not intervene in any disputes between the two organizations regarding the transferred amount; and
- Electronically signing the request when submitted to NSF.

Upon receipt of the above material, NSF will review the request and, if approved, deduct the specified transfer amount from the original grant and re-establish it under a new grant number at the new organization. Award notification by the NSF Grants and Agreements Officer will constitute NSF approval of the grant transfer.

As a final step, the PI should log-in and update his/her Fast Lane profile to reflect the change of institution.
For any additional questions or support during the NSF Transfer process, please email your OCGA Officer.

Please email your OCGA Officer and look at the following resources:

- PAPPG – Proposal and Award Policies and Procedures Guide
SUBMITTING APPLICATIONS TO NIH VIA ASSIST

NIH offers two options for the submission of an application. Applicants can complete web-based version of the application package either through NIH’s ASSIST System or through the Grant.gov’s application system named Workspace. OCGA strongly recommends using NIH’s ASSIST.

ASSIST: The Application Submission System & Interface for Submission Tracking (ASSIST) system is used to prepare and submit grant applications electronically to NIH and other Public Health Service agencies. Applicants sign-in to ASSIST using their eRA Commons ID and password.

Preliminary Steps 1) Verify you have an NIH eRA Commons User ID at https://commons.era.nih.gov/commons/. If you do not have an account, then please email OCGA at era-commons@ucsd.edu and we will initiate your account.

- Who needs to have an eRA Commons ID: PD/PIs are required to have a Commons User ID for competing proposal submission. PostDocs, Graduate Students, and Undergraduate Students need a Commons User ID for non-competing continuations.
- Who is suggested to have an eRA Commons ID: Co-Investigators or other Key Personnel are not required to have a Commons User ID, but it is highly suggested if they are to be listed in the Senior/Key Persons section of the application.
- Consult the current NIH Application Guidelines: https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.100-how-to-use-the-application-instructions.htm
- Consult the appropriate (and current) FOA: You can locate all of the NIH FOAs here: https://grants.nih.gov/funding/searchguide/index.html as well as you can locate all of NIH’s Parent Announcements (Unsolicited) here: https://grants.nih.gov/grants/guide/parent_announcements.htm.

What type of review will the PI receive from OCGA: The application will undergo an administrative review by your Contract and Grant Officer in OCGA if the application is received with sufficient time ahead of the deadline. OCGA will provide any comments/revision requests. The application will undergo a final review to ensure all items noted in the initial review have been addressed.

What is an “on-time” submission with NIH: OCGA will then submit the final application via ASSIST. An application is considered “on-time” if it is accepted error free by NIH by 5:00 PM local time of the deadline date. As the NIH system can (at high volume times) take 24-48 hours to review and return any errors or warnings that must be addressed by the deadline.

What are the Steps Required to Prepare Your Application in ASSIST: Refer to the Quick Start: Preparing Your Single-project Application Using ASSIST: Step-by-Step processes as well as ASSIST Action notes.
Quick Start: Preparing Your Single-project Application Using ASSIST

Step-by-Step

Before you begin: Know where to go for help
- The eRA Service Desk is available to help you if you have any problems using ASSIST
  - https://grants.nih.gov/support/index.html

Step 1: Find a Funding Opportunity Announcement (FOA)
- Find a FOA of interest in the NIH Guide for Grants & Contracts and record the FOA number (e.g., PA-16-160)
- The ‘Apply Online Using ASSIST’ button just above the FOA Table of Contents takes you to ASSIST

Step 2: Make a submission plan
- Decide who will be responsible for data entry in ASSIST and gather their eRA Commons usernames

Step 3: Login to ASSIST & Initiate Your Application
- Login to ASSIST at https://public.era.nih.gov/assist using your eRA Commons username and password
- Use the Initiate Application feature and your FOA number to get started on your application
  - Or, access applications already in progress using the Search feature
  - Email OCGA at era-commons@ucsd.edu if you do not have an account.

Step 4: Provide application access to your team
- Automatic Edit access is given to:
  - All SOs (Signing Official) and AOs (Administrative Officials) at the applicant organization
  - The PD/PIs designated on the application (once eRA Commons username is entered in Credential field)
  - The user that initiated the application
- Access can be given (or revoked) to additional users using the Manage Access action

Step 5: Enter Application Data
- Use the tabs across the top of the screen to move between forms
- Complete the R&R Cover tab first
- Multiple users can simultaneously work on your application, but only one user at a time can Edit an individual form
- Use the Validate Application action to check your entered data against NIH business rules

Step 6: Finalize your application and prepare for submission
- Use the Preview Application action to generate a draft application image in the agency format
- Check the application image for any assembly issues
- Use the Update Submission Status action to change your application from Work In Progress status to Ready for Submission status
  - If additional edits are needed, the application must be returned to Work In Progress status

Step 7: Submit your application
- Use the Submit button on the Summary tab to submit to the agency through Grants.gov
  - Only active for users logged into ASSIST with an eRA Commons account with the SO role
- Provide your valid Grants.gov Authorized Organizational Representative username and password when prompted

Step 8: Track your application status and view your assembled application image
- Use the View Submission Status Details link to track your application status
  - If your application successfully processed through to eRA Commons, the Agency Tracking # (e.g., AN1234567) will be hyperlinked to the eRA Commons detailed status screen
  - Carefully check your assembled application image (e-Application) and associated documents in the Other Relevant Documents section of the screen

Updated: Nov. 11, 2017
Quick Start: Preparing Your Single-project Application Using ASSIST

Navigating the ASSIST Screen

Available actions vary based on application context and user access.

Some actions are only available from the Summary tab (e.g., Preview Application).

Use '?' icons to access online help.

Find handy tips and system messages at the top of the screen.

Use tabs to navigate between forms.

After submission, the Submit button is replaced with a View Submission Status Details link to track your submission.

### ASSIST Action Notes

<table>
<thead>
<tr>
<th>Action</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Manage Access</strong></td>
<td>Provides interface to control who has access to your application and what they can do within the system</td>
</tr>
<tr>
<td>-</td>
<td>Access can be controlled across multiple variables: view/edit and budget/non-budget data</td>
</tr>
<tr>
<td>-</td>
<td>Limited to users with the SO role or ASSIST_ACCESS MAINTAINER_ROLE role on their eRA Commons account, unless delegated</td>
</tr>
<tr>
<td>-</td>
<td>SOs (Signing Officials) can delegate Access Maintainer and Status Maintainer authority to other users</td>
</tr>
<tr>
<td><strong>Add Optional Form</strong></td>
<td>Allows you to add additional forms to your application (e.g., Modular Budget, R&amp;R Budget, Subaward Budget, PHS Inclusion Enrollment Report, PHS Assignment Request Form) when your application circumstances warrant them</td>
</tr>
<tr>
<td>-</td>
<td>Available forms vary by Funding Opportunity Announcement</td>
</tr>
<tr>
<td><strong>Preview Application</strong></td>
<td>Provides a preview of your application in the format used by the agency for review and funding consideration</td>
</tr>
<tr>
<td>-</td>
<td>Cover Letter, PHS Assignment Request Form and Appendices are not part of the application image (maintained separately)</td>
</tr>
<tr>
<td><strong>Validate Application</strong></td>
<td>Checks your application data against agency business rules prior to submission</td>
</tr>
<tr>
<td>-</td>
<td>Form fields marked with an &quot;*&quot; must be completed before the system can validate that form</td>
</tr>
<tr>
<td><strong>View Status History</strong></td>
<td>Provides history of submission status updates related to ASSIST actions</td>
</tr>
<tr>
<td><strong>Update Submission Status</strong></td>
<td>Allows you to change your submission status to Work In Progress, Ready for Submission or Abandoned</td>
</tr>
<tr>
<td>-</td>
<td>Your application must be error-free for the status to change from Work In Progress to Ready for Submission</td>
</tr>
<tr>
<td>-</td>
<td>Ability to set an application to Work in Progress is restricted to users with SO or A0 roles on their eRA Commons accounts, users granted Status Maintainer authority through the Manage Access action, and the initiator of the application</td>
</tr>
<tr>
<td><strong>Submit</strong></td>
<td>Submits your application to the agency through Grants.gov</td>
</tr>
<tr>
<td>-</td>
<td>Application must be in Ready for Submission status</td>
</tr>
<tr>
<td>-</td>
<td>Available to users with the SO (Signing Official) role on their eRA Commons account</td>
</tr>
<tr>
<td>-</td>
<td>Requires active Grants.gov Authorized Organizational Representative credentials</td>
</tr>
<tr>
<td><strong>Copy Application</strong></td>
<td>Copies application data to a new application</td>
</tr>
<tr>
<td>-</td>
<td>If copying to a different FOA, a 'best effort' match is done</td>
</tr>
<tr>
<td><strong>Delete Application</strong></td>
<td>Permanently deletes an application from ASSIST – use cautiously, once it’s gone – it’s gone!</td>
</tr>
</tbody>
</table>

Updated: Nov. 11, 2017

ASSIST: Single-project Applications
**R&R Cover**

<table>
<thead>
<tr>
<th>Item 2</th>
<th>Applicant Identifier: enter the ePD # here.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Item 4a</td>
<td>Federal Identifier: if this is a renewal or a resubmission, enter the main portion of the previously assigned NIH grant #: CA123456 (2 letters and 6 numbers). An error will occur if more of the grant number is listed. Note: Do NOT enter a previous Grants.gov # here, if this is a resubmission.</td>
</tr>
<tr>
<td>Item 5</td>
<td>Applicant Information: <a href="https://blink.ucsd.edu/research/preparing-proposals/proposal-development/vital.html">https://blink.ucsd.edu/research/preparing-proposals/proposal-development/vital.html</a>.</td>
</tr>
<tr>
<td>Item 6</td>
<td>Applicant Information: <a href="https://blink.ucsd.edu/research/preparing-proposals/proposal-development/vital.html">https://blink.ucsd.edu/research/preparing-proposals/proposal-development/vital.html</a>. <em>Be very careful and use the NIH EIN version &amp; not the standard EIN version.</em></td>
</tr>
<tr>
<td>Item 7</td>
<td>Applicant Information: <a href="https://blink.ucsd.edu/research/preparing-proposals/proposal-development/vital.html">https://blink.ucsd.edu/research/preparing-proposals/proposal-development/vital.html</a>.</td>
</tr>
<tr>
<td>Item 12</td>
<td>Proposed Project Start Date: Please select the appropriate start date.</td>
</tr>
<tr>
<td>Item 13</td>
<td>Congressional District of Applicant: CA-049</td>
</tr>
<tr>
<td>Item 15</td>
<td>Please enter the total budget into sections 15a &amp; 15c. 15b: Enter amount if cost sharing is a requirement, if not, then enter $0.00. 15d: Enter amount of income that will be generated through the research (e.g. royalties from patents derived from research), if not, then enter $0.00.</td>
</tr>
<tr>
<td>Item 16</td>
<td>Is application subject to review by State Executive Order 12372 process? <em>For NIH, this is always “No.”</em></td>
</tr>
<tr>
<td>Item 19</td>
<td>Authorized Representative – list your Contract and Grant Officer.</td>
</tr>
</tbody>
</table>

**Cover Page Supplement**

| Items 1-5 | Enter the required information into each section (as applicable). See NIH Guidelines. |

**Other Project Information**

| Item 1a | Human Subjects Assurance Number: If the project involves human subjects enter in “00004495.” Always mark the protocol approval date as pending. The approval information is given to NIH during JIT. |
| Item 2a | Animal Welfare Assurance Number: If the project involves vertebrate animals enter “A3033-01” Always mark the protocol approval date as pending. The approval information is given to NIH during JIT. |
| Item 6 | Foreign Sites. List the Country(s) to be involved here, then provide a Foreign justification below, under Item 12. |
| Item 7 | Project Summary/Abstract: This attachment should be no more than 30 lines. |
| Item 8 | Project Narrative: This attachment should be no more than 2-3 sentences |
| Item 9 | Bibliography is always required, unless an FOA says different. |
| Item 10 | Facilities & Resources is required, unless an FOA says different. Note, images can be used to show lab space as well as letters from mentors/collaborators detailing their resources can be uploaded here. |
| Item 11 | Equipment is always required, unless an FOA says different. Note, images can be used to show lab space as well as letters from mentors/collaborators detailing their resources can be uploaded here. |
| Item 12 | To be used when required by FOA as well as where the Foreign Justification goes (see Item 6). For more information: [https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/general/g.220-r&r-other-project-information-form.htm#6](https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/general/g.220-r&r-other-project-information-form.htm#6). |
### Sites

<table>
<thead>
<tr>
<th>Primary Site</th>
<th>UC San Diego is always the primary site. This should be where the science is conducted and not OCGA. There should only be one UCSD site. Thus, the Mail Code should be the PI’s lab, where the work is being done.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Site 1</td>
<td>Additional sites are for Consortium Sites. Note: Foreign Sites: if you have a foreign site, use 00-000 for their Congressional District as well as 000000000 (nine zeroes) for their DUNS (if they do not already have one).</td>
</tr>
</tbody>
</table>

### Senior/Key Person Profile

<table>
<thead>
<tr>
<th>Credential, e.g., agency login</th>
<th>Enter your eRA Commons ID. Note: this is required for the PD/PI(s).</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Role</td>
<td>Choose appropriate. Note: NIH does not use the Co-PI role or Contributor role, so either choose PD/PI, Co-Investigator, Consultant, or Other and then type in Other Significant Contributor or Consortium PI.</td>
</tr>
<tr>
<td>Department</td>
<td>Though this field is not required. Please enter their Home Department.</td>
</tr>
<tr>
<td>Organization Name</td>
<td>Though this field is not required, if it is not filled in, it will cause an error. Please enter the following name: The Regents of the Univ. of Calif., U.C. San Diego.</td>
</tr>
<tr>
<td>Division</td>
<td>Though this field is not required. Please enter the appropriate Division. This would be General Campus, Health Sciences, Sch. of Pharmacy and Pharm. Sci, or Scripps Institute of Oceanography.</td>
</tr>
<tr>
<td>Biographical Sketch</td>
<td>Attachment should not exceed 5 US Letter size pages. Visit <a href="https://grants.nih.gov/grants/forms/biosketch.htm">https://grants.nih.gov/grants/forms/biosketch.htm</a> for more information on Biosketches as well as access to form templates. Images and graphs are not allowed and will be considered trying to circumnavigating the Research Plan page limits.</td>
</tr>
<tr>
<td>Current and Pending</td>
<td>FOA or Guidelines specific. In most cases, this is not required.</td>
</tr>
</tbody>
</table>

### Budget

<table>
<thead>
<tr>
<th>Modular</th>
<th>If the Direct Costs in all requested years at $250,000, not including the Consortium IDC, then use this budget unless otherwise called for in the FOA. Personnel Narrative (Budget Justification) is required for Personnel only. If you have additional modules, then include an Additional Narrative as well as the Consortium Narrative if there is one. For more information on Consortium Narrative format: <a href="https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/general/g.320-phs-398-modular-budget-form.htm#2">https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/general/g.320-phs-398-modular-budget-form.htm#2</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>Detailed</td>
<td>If the Direct Costs in any of the requested years at above $250,000, not including the Consortium IDC, then use this budget unless otherwise called for in the FOA. A Budget Justification is required. Note, there is no budget for Fellowship applications. Note: if there is a Consortium/Sub Site, a separate SF424 Budget will be required for the sub(s): <a href="https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/general/g.310-r&amp;r-subaward-budget-attachment(s)-form.htm">https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/general/g.310-r&amp;r-subaward-budget-attachment(s)-form.htm</a>.</td>
</tr>
<tr>
<td>Training</td>
<td>This is only to be used for Training Grants. A Budget Justification is required.</td>
</tr>
</tbody>
</table>
### Research Plan

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Item 5</strong></td>
<td>Images, Tables, and graphs are not allowed here and will be considered trying to circumnavigating the Research Plan page limits.</td>
</tr>
<tr>
<td><strong>Item 7</strong></td>
<td>Multiple PD/PI Leadership Plan: If your application includes Multiple PD/PIs you are required to upload a plan. Please see the NIH guide for further direction on this requirement.</td>
</tr>
<tr>
<td><strong>Item 9</strong></td>
<td>Always verify the letters are US Letter size and not A4 size.</td>
</tr>
<tr>
<td><strong>Item 12</strong></td>
<td>Only enter what is allowable for appendices. Follow the NIH Guidelines as well as recent notices released by NIH. Visit this recent notice for more information on what is allowable and what is not allowable: <a href="https://grants.nih.gov/grants/guide/notice-files/NOT-OD-18-126.html">https://grants.nih.gov/grants/guide/notice-files/NOT-OD-18-126.html</a>. This is cause for your application to NOT be reviewed.</td>
</tr>
</tbody>
</table>

### ASSIST Policies & Procedures

| NOT-OD-18-197 | NIH/AHRQ Application Submission/Resubmission Policy  
| NOT-OD-12-128 & NOT-OD-10-140 | Time Limit on NIH Resubmission Applications  
| NOT-OD-15-039 | Policy for Late Application Submission  
| NOT-OD-17-042 | Continuous Submission Policy  
|  | Rules for Text Fields  
|  | Page Limits  
|  | Format Attachments  
| NOT-OD-18-126 | Appendix Policy  
| NOT-OD-17-066 | Policy on Post-Submission Material  
|  | Annotated Form Set for NIH Grant Applications (Forms E)  
|  | Human Subjects and Clinical Trials  
Enter the required information into each section (as applicable). See NIH Guidelines.  
Foundation Relations – A Partner in Seeking Private Funds

Presented by Lisa Marvin and Carol Hobson

November 6, 2018
FOUNDATION RELATIONS
PARTNERSHIP CONTINUUM

UNCOVER
- Foundation Research
  - Track funding trends
  - Share funding opportunities
  - Support Young Investigators
  - Conduct funding research for PIs

BUILD & CONNECT
- Relationships
  - Work with Leadership and PIs
  - Facilitate dialogue around new ideas
  - Position visionary solutions to global problems
  - Support interdisciplinary collaborations

- Strategy

- Results
  - Build contact networks with foundations and their boards
  - Position leadership and faculty as thought leaders within circles of influence
  - Host site visits and exploratory convenings
  - Coordinate meetings at foundations, from logistics to prepared briefings, to full staffing
  - Advise on proposal development and submission

DELIVER
- Impact
  - Support research evolution, including scalability
  - Aid dissemination of results
  - Prepare impact reports and personalized stewardship
  - Prompt presentation and dialogue around global solutions
Funding Opportunities

Connecting faculty and research initiatives to funding opportunities is a key goal for the foundation relations team. Review the links below for upcoming deadlines and a funding list for early career faculty. Please reach out to us for assistance with proposal development, consultation in developing a foundation strategy, or with any questions.

Upcoming Foundation Deadlines

Each month the Foundation Relations team will curate a list of upcoming deadlines for funding opportunities from private foundations. Please note that some opportunities are limited submissions and therefore hold additional guidelines with internal deadlines, noted where known.

<table>
<thead>
<tr>
<th>FOUNDATION/ORGANIZATION</th>
<th>AWARD (US$)</th>
<th>LIMITED SUBMISSION DEADLINE</th>
<th>ORG DEADLINE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Thrasher Research Fund</td>
<td>$25,000</td>
<td>-</td>
<td>11/2/2018</td>
</tr>
<tr>
<td>Early Career Award Program</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Burroughs Wellcome Fund (BWF)</td>
<td>$500,000</td>
<td>-</td>
<td>11/15/2018</td>
</tr>
<tr>
<td>Investigators in the Pathogenesis of Infectious Disease (PATH)</td>
<td></td>
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<tr>
<td>Gerber Foundation</td>
<td>$350,000</td>
<td>-</td>
<td>11/15/2018</td>
</tr>
<tr>
<td>Pediatric Research Grants</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Parker Foundation</td>
<td>varies</td>
<td>-</td>
<td>11/21/2018</td>
</tr>
<tr>
<td>December Grant Cycle</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Doris Duke Charitable Foundation (DDCF)</td>
<td>$495,000</td>
<td>-</td>
<td>12/1/2018</td>
</tr>
<tr>
<td>Clinical Scientist Development Award (CSDA)</td>
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</tr>
</tbody>
</table>

Young Investigators

The Young Investigator Program was developed by UC San Diego’s office of Foundation Relations and various campus partners to fill a vital need: to connect research faculty at the start of their UC San Diego careers with funding entities who are interested in a particular field of study, and willing to seed and support career development & innovation.

The program strives to ensure our faculty members have the tools, partners and resources needed to immediately secure private support for their work. Explore the funding opportunities found here, and reach out if you would find benefit in our expertise.
<table>
<thead>
<tr>
<th>Foundation-Focused THEMES</th>
<th>FR Aligned Thematic Expertise</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Jennifer Martin</strong></td>
<td>Global Health and Development</td>
</tr>
<tr>
<td>Sr. Director of Development</td>
<td>Precision Education</td>
</tr>
<tr>
<td></td>
<td>Moonshot Initiatives</td>
</tr>
<tr>
<td></td>
<td>Cross-Border Collaboration</td>
</tr>
<tr>
<td></td>
<td>Human-Centered Design</td>
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<td></td>
<td>Practical Ethics</td>
</tr>
<tr>
<td></td>
<td>Humanities Pathways</td>
</tr>
<tr>
<td></td>
<td>Gender Equity &amp; Global Justice</td>
</tr>
<tr>
<td><strong>Ashley Garcia</strong></td>
<td>Microbiome Initiatives</td>
</tr>
<tr>
<td>Director of Development</td>
<td>Infectious Disease</td>
</tr>
<tr>
<td></td>
<td>Public Health</td>
</tr>
<tr>
<td></td>
<td>Gene Drive, Vector Control</td>
</tr>
<tr>
<td><strong>Claire Grezemkovsky</strong></td>
<td>Climate, Conservation &amp; Clean Energy</td>
</tr>
<tr>
<td>Director of Development</td>
<td>Data Sciences</td>
</tr>
<tr>
<td></td>
<td>Smart &amp; Resilient Cities</td>
</tr>
<tr>
<td></td>
<td>Faculty Engagement</td>
</tr>
<tr>
<td></td>
<td>Science Communication</td>
</tr>
<tr>
<td><strong>Lisa Marvin</strong></td>
<td>Cancer, Immunotherapy and Vaccines</td>
</tr>
<tr>
<td>Director of Development</td>
<td>Brain/Neurosciences</td>
</tr>
<tr>
<td></td>
<td>Genomic Medicine</td>
</tr>
<tr>
<td></td>
<td>Medicinal Cannabis Research</td>
</tr>
<tr>
<td><strong>Amanda Estrada</strong></td>
<td>STEM Initiatives</td>
</tr>
<tr>
<td>Associate Director of Development</td>
<td>Entrepreneurship &amp; the Future of Work</td>
</tr>
<tr>
<td></td>
<td>Community Health Initiatives</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Carol Hobson</strong></td>
<td>Opportunities Pipeline</td>
</tr>
<tr>
<td>Director of Development</td>
<td>Circles of Engagement</td>
</tr>
<tr>
<td></td>
<td>Ideas for Change Development</td>
</tr>
</tbody>
</table>
Contact Information

Carol Hobson, chobson@ucsd.edu, (858) 822-0619
Lisa Marvin, lmarvin@ucsd.edu, (858) 822-0263

General contact email: foundationrelations@ucsd.edu
https://foundationrelations.ucsd.edu