Research Administration 101
PreAward
Proposal Submission
Viterbi Proposal Timeline

As soon as your faculty member notifies you of his/her intent to submit, notify the Viterbi Business Affairs – Research Administration (VBA-RA) office and your Department of Contracts and Grants (DCG) Administrator with an e-mail and link or attachment of announcement.

7-9 Business Days Prior to Submission submit route Proposal Packet to VBA-RA office
3 Business Days Prior to Submission submit all Final documents to the DCG

Cost Sharing

30 Business Days for Center and Large Scale Proposals
14 Business Days for Regular Proposals
Submit via website: https://viterbibusinessaffairs.usc.edu/research-administration/
**What to Do!**

You receive an e-mail from faculty about a proposal!

Ask for guidelines/solicitation – These will give you the agency, key dates, other important information such as mandatory meetings, etc.

Ask for budget parameters: Cost Sharing, Faculty time, RAs, M&S, etc.

Ask for the title

Send e-mail to VBA-RA and DCG Administrator informing them that a proposal is coming, attach guidelines or link to guidelines.

Next step if you have the budget parameters you can begin the first part of the process for reviews and approvals
Budgeting – What to keep in mind!

OMB Circular A-21 and 2 CFR (Omni Circular):
Principles for Determining Costs Applicable to Grants, Contract, and other Agreements with Educational Institutions

Describes the principles and practices that universities must follow regarding applicable costs:
- Allowable v. unallowable
  - Reasonable – Prudent person test
  - Allowable – Conform to sponsor policies and guidelines
  - Allocable – To the proposed project
  - Consistent – Treated consistently in like circumstances
- Direct v. F&A
Budgeting – What to keep in mind!

- Principles underlying USC accounting systems
- Stewardship of public funds
- The better the budget at the proposal stage the easier post award becomes
Alcohol
Unallowable
Fringe Benefits
Postdoc Salaries
Travel
Lab Supplies
Animals
Long Distance Calls
Subcontract (both its direct and F&A)
Specialized Equipment
Postdoc Salaries
More Travel
PI Salary
Office Phone
Scientific Journals
Library
Office Computer
Dept Chair Time
Custodial Services
PI Salary
Sect’y Salary
Office Supplies
Building
PI Salary
Sect’y Salary
Office Supplies
Building
DIRECT COSTS
Unallowable
F&A COSTS
Budgeting!

Prepare a budget:
  Preferred format is what we are working on
  Templates are on the VBA-RA website:
  https://viterbibusinessaffairs.usc.edu/research-administration/

Once faculty approves the budget, submit for review and begin preparing any budget forms

Satellite budgets are required for any non-Viterbi co-PIs and/or Key Investigators

Effective March 15, 2011 satellite budgets are required within Viterbi for all Co-PIs

If there is cost sharing go to VBA-RA website to complete and submit cost sharing request
Cost Sharing

Any portion of the total costs of a project or program not borne by the sponsor

In-kind resources, such as the effort of USC personnel

Cash provided by the School or third party entity to support those costs necessary for the successful completion of the proposed project.

Example if the Dean provides $50,000 to assist with the purchase of a piece of equipment
How to Request Cost Sharing

On-line at:  
https://viterbibusinessaffairs.usc.edu/research-administration/

Cost Sharing Policies available there for review.

Under Cost Sharing Click on “On-Line Request Form”.

Form is a two step process.

Fill out appropriate sections.  
Including the upload budget and guidelines or insert website in comment section for guidelines and hit submit.
What to Route?

If Submitting through TARA Preaward System:
Complete the TARA Pre-Award Routing Packet
This will vary depending on use of S2S or submitting via another agency system or via email
Follow the Proposal Development Checklist
Link: [http://research.usc.edu/kuali-pre-award/](http://research.usc.edu/kuali-pre-award/)
In general Includes the upload of the following documents:
RFP/Guidelines
Cover Sheet for Signature (if electronic then just print the cover sheet for ex. NSF) unless S2S then not needed.
Budget
Budget Justification
Draft of Scope of Work/Technical Justification
If an HHS (ex. NIH) proposal then diSClose print-outs if needed for Investigators [http://research.usc.edu/disclose/](http://research.usc.edu/disclose/)

The Budget will need to be FINAL and marked complete in order to route (any changes to the budget after it begins routing will then need to be rerouted for approvals)
What to Route?

If Submitting with ISI:
- RFP/Guidelines
- PAR and/or PAR Addendum
- Cover Sheet for Signature if lead (if electronic then just print the cover sheet for ex. NSF Fastlane Cover Page or SF 424 for grants.gov, etc.)
- Budget
- Budget Justification
- Draft of Scope of Work/Technical Justification

If an HHS (ex. NIH) proposal then diSClose print-outs for Investigators. [http://research.usc.edu/disclose/](http://research.usc.edu/disclose/)

Can be sent electronically via email just scan in signature page of ePAR

The Budget Needs to be in FINAL Form (any changes to the budget after VBA-RA signs and prior to submission will need to be rerouted for approvals; changes to the titles requires ePAR and Cover Sheet to be sent to VBA-RA)
Addt’l items for Administrative Packet when Applicable

If you have a Subaward/Subcontractor
You need to include from the subcontractor
  A budget
  A statement of work for what they will be doing
  Sign-off from the institution, agreeing to participate on the proposal (Subrecipient Certification Form is preferred)
If it is an HHS (ex. NIH) will need Conflict of Interest Verification diSClose. Check FDP site http://thefdp.org/default/fcoi-clearinghouse/compliant-entities/
Print screenshot and include in subaward packet See DCG email 9/24/12
If they are a Cayuse institution just upload email from university showing Cayuse upload attachment

If you have a Consultant
  A letter from the consultant agreeing to participate.
The letter can contain their rates and costs if it does not then a separate budget is required from the consultant
Budget Revisions

All Budget Revisions must route through DCG for signature and sending to the agency.

When is routing to VBA-RA for Budget Revisions required
   If the budget is changing by 25% or more; This is for both increases and decreases.
   If the proposal has mandatory/voluntary cost sharing

If the Budget Revision is less than 25% it does not to route through TARA. However, VBA-RA, must review and approve the budget.

Please note DCG will not submit the revised budget without the VBA-RA approval.

After award if additional money is being provided by the sponsor then a NEW packet needs to be routed for these funds through both offices
What does VBA-RA do with the packet?

Proposals are Reviewed per Receipt.

Budget: If received within 7-9 day window all equations are checked for accuracy. If received later than this window may only have time to check the rates and these equations, cannot guarantee to check salaries

Check to see approvals were obtained for any space and/or cost sharing requests

Will check for other items per the guidelines if included in the packet. (Example NSF C&P forms, other certifications)

Once the review is performed it is approved in the system or signature of Viterbi approver designate is obtained

Packet then routes to DCG or an e-mail is sent letting you know when this occurs if ISI or ICT is involved
What does DCG do with the packet?

DCG Service Commitment

https://research.usc.edu/files/2011/05/DCGServiceCommitment_Proposals-1.pdf

What does DCG do once the Proposal is Submitted

Maintains direct contact with the Sponsor and Subcontractor(s), and is liaison between Sponsor and Department

Acts as authorized official of the University, submitting official proposal updates, revised budgets and certifications

Ensures compliance with Sponsor guidelines, terms and conditions and USC policy

Negotiates all sponsored research award terms on behalf of the University
**TARA Preaward system**

Login to system: [https://kc.usc.edu/kc-prd/](https://kc.usc.edu/kc-prd/)

Important to choose the right type: Either “Create Proposal or “Create Proposal for Grants.gov Opportunity”
(Remember to disable the pop-up blocker on your browser)

Link to “Proposal Development Checklist” [http://research.usc.edu/kuali-pre-award/](http://research.usc.edu/kuali-pre-award/)

Complete the required fields and upload necessary documents

**PAR**

Link to form: [https://research.usc.edu/dcg/](https://research.usc.edu/dcg/)

Fill information and print for attachment to administrative shell for routing purposes.
Common Problems

Restrictions – Ensure you are aware of any restrictions (including limited submissions, period of performance requirements, IDC, international student participation, UARC, etc). If there ARE restrictions that may make the PI ineligible, discuss with the PI and then with VBA-RA or DCG if you need further clarity.

Revised Budgets – If you revise the budget it needs to be rerouted. See above slide for additional information.

Satellite Budgets for non-Viterbi collaborators. Is a requirement from the USC Vice President of Research. Per Viterbi policy these budgets need to be done in advance. This is also true if for example the College is the lead PI, we will still need to see the Viterbi satellite budget.
Common Problems Cont.

Additional Forms/Certifications – When forms/certifications are required, ensure they are provided to DCG after basic information is completed. These need to be provided prior to the submission due date.

Letters of Intent – Was a letter of intent required? Is so, is this the Letter of Intent Stage? Letter of Intent do not usually require a routing of a proposal, but may require a letter from DCG or formal submission by DCG. (Ex. NSF Fastlane submission)
Help?

Check the website.
https://viterbibusinessaffairs.usc.edu/research-administration/

Regular updates are being made to link to the most accurate information.

If the information is not there or you have additional questions contact us for help.
Example: Questions regarding the guidelines.
Isabel x06227
Nichole x03237
Lauren x06240
DCG See hand-out

We are here to help!