VITERBI PRE-AWARD TRAINING:
PROPOSAL SUBMISSIONS
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USC University of Southern California
PRE-AWARD TRAINING
AGENDA

01 Proposal Submission Process
02 Proposal Notification
03 Proposal Timeline
04 Creating a Budget
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06
PRE-AWARD TRAINING
AGENDA (CONT.)

06 Proposal Submission
07 Budget Revisions
08 Review by VBA
09 Responsibility of DCG
10 Additional Assistance
PROPOSAL SUBMISSION PROCESS

01 NOTIFICATION
When faculty informs you of their intent to submit, submit a Calendar Request in the Research Proposal Calendar and Tracking System in myViterbi

02 BUDGET
Submit budget to VBA-RA for review via email by forwarding the confirmation email from the tracking system

03 PROPOSAL
Create proposal in TARA/Cayuse and route for review

04 REVIEW
TARA/Cayuse Proposal Packet gets routed for appropriate reviews/approvals from VBA and DCG
PROPOSAL NOTIFICATION
Your faculty member just informed you of their intent to submit, now what?

STEP 01
Ask for guidelines/solicitation, budget parameters, title
Includes (but is not limited to): key dates, cost sharing requirements, PI effort, GRA’s, M&S, etc.

STEP 02
Create a new Calendar Request in the Research Proposal Calendar and Tracking System in myViterbi:
https://vsneapp1.vsne.usc.edu/secure/research_proposal_submission

STEP 03
Fill in all required fields in the form and upload the solicitation (attachment or URL)

STEP 04
Receive confirmation email that request was successfully submitted

Example Scenario:
PI wants to submit a proposal that is due on Oct 29, 2021

Calendar Request must be submitted as soon as PI notifies you of their intent to submit. The completed electronic proposal package must then be submitted by Wednesday, October 20th at the latest to guarantee submission.
See next slide for details.
PROPOSAL TIMELINE
Please note the following deadlines when submitting proposal packages for review/approval:

**GUARANTEED SUBMISSION**
The TARA/Cayuse proposal package with VBA-approved budget must be sent to VBA 7-9 business days before the sponsor due date to guarantee submission.

**ATTEMPT TO ACCOMMODATE**
VBA will attempt to accommodate submissions received 4-6 business days prior to the submission deadline; however, we cannot guarantee it will get submitted.

**CUT OFF**
If proposal package is being sent to VBA under 3 business days prior to the deadline, it will be returned without review.

**SUBMISSION DEADLINE**
VBA cannot accommodate same-day submissions.
CREATING A BUDGET

Preferred budget format can be found on the VBA website under Proposal Preparation: https://viterbibusinessaffairs.usc.edu/research-administration/

HEADER
Update header for Title, PI, Research Period, etc.
Make sure period of performance used in the budget matches the header

SATellite budgets
Satellite budgets are required for any non-Viterbi co-PIs and/or Key Investigators, as well as all Viterbi Co-PI’s

PARTICIPANT SUPPORT
If participant support is included, please include a satellite budget

DIREcT COSTS
This includes: PI Salary, Fringe Benefits, Wages (GRAs), Post Doc Salaries, Animals, Travel, Equipment, Materials and Supplies for the Project, etc

wHAT TO KEEp IN MIND
2 CFR 220 - COST PRINCIPLES FOR EDUCATIONAL INSTITUTIONS (OMB CIRCULAR A-21): See next slide

COsT SHARE
If cost share is required, please show what is being cost-shared (e.g., effort, F&A, etc.)

INDIRECT COSTS
This includes: Office Phone, Office Supplies, Internet, Building, Custodial Services, Dept Chair Time, Office Computer, etc.

FEDEral vs NON-FeDERAL
Fringe Benefit rates are dependent upon whether the sponsor is federal or non-federal. Please use the correct rate.
WHAT TO KEEP IN MIND FOR BUDGETS

2 CFR 220 - COST PRINCIPLES FOR EDUCATIONAL INSTITUTIONS (OMB CIRCULAR A-21): UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS

REASONABLE
A cost is reasonable if the nature and amount of the good/service does not exceed what a prudent person would spend given the circumstance at the time of the decision.

ALLOWABLE
A cost is allowable if is in compliance with terms & conditions of award, general federal regulations, and university policy.

Allowable Costs: Direct and Indirect Costs (see previous slide for examples)

Unallowable Costs: Alcohol, fines, penalties
Note: Alcohol is an unallowable cost unless the research is specifically related to alcohol effects

ALLOCABLE
A cost is allocable if it directly benefits the specific award being charged.
It is imperative to document how it benefits the specific project

CONSISTENT
All costs incurred for the same purpose, and in like circumstances, must be treated consistently – either as direct costs or as indirect (facilities and administrative or F&A) costs.
COST SHARING

Cost Sharing is when any portion of the total costs of a project or program are not accepted by the sponsor.

01 Sponsor Required

When the sponsor requires the University to cost-share

• In-kind resources (e.g., effort of USC personnel)

• Cash provided by the school or third-party entity to support costs necessary for the successful completion of the proposed project

• Ex: If the Dean provides $50k to assist with the purchase of a piece of equipment

02 Unrecovered F&A

When a sponsor limits F&A to an amount under the negotiated rate agreement (whether federal or non-federal), the portion of F&A not covered by the sponsor must be covered by Viterbi

03 NIH Excess Compensation

NIH has a mandated salary cap (e.g., $203,700/12 months for 2022). When a PI has an IBS over that amount, the remaining portion of the salary in excess of the salary cap must be covered by Viterbi
COST SHARE PROCESS

Cost Share Requests should be submitted within the following timeframes:
- **30 business days** for Center and Large-Scale Proposals
- **14 business days** for Regular Proposals

**STEP 01**
**REVIEW POLICIES**
Access Cost Share Policies and review:
https://viterbibusinessaffairs.usc.edu/research-administration/cost-sharing/

**STEP 02**
**CREATE REQUEST**
Access the Cost Sharing Form:
https://viterbibusinessaffairs.usc.edu/cost-sharing-proposal-form/

**STEP 03**
**COMPLETE**
Fill out all appropriate and required sections of the form. Please also include the budget and sponsor guidelines.

**STEP 04**
**SUBMIT**
Once approved, please upload the Cost Share Approval (via PDF) to the Proposal Package in TARA/Cayuse.
PROPOSAL SUBMISSION

Create Proposal by first selecting the correct type: “Create Proposal” or “Create Proposal for grants.gov Opportunity”

Complete all required fields in TARA/Cayuse and upload corresponding attachments. See next slides for attachments to upload.

Please note the following:

- The Budget in TARA/Cayuse must match exactly with what is being sent to the sponsor.
- It is okay for the internal budget attachment to be off due to rounding, if this is not being sent to sponsor.
- If submitting through grants.gov, disable the pop-up block so that you can link to the TARA document

Helpful Links:

Login to TARA: https://kc.usc.edu/kc-prd/
Proposal Development Checklist: http://research.usc.edu/kuali-pre-award/
PROPOSAL PACKAGE DOCUMENTS, IF APPLICABLE

What needs to be submitted as part of the completed proposal package?

01 VBA-APPROVED BUDGET
The final budget must first be sent to VBA for review/approval prior to routing the proposal package through TARA/Cayuse. The budget will need to be marked ‘Complete’ in TARA. Any changes to the budget once the electronic document is approved by VBA will need to be returned to initiator and re-routed for review and approval.

02 SOLICITATION
PDF/Word Document of the solicitation should be uploaded; if no solicitation is available, please upload documentation from the sponsor inviting the PI to submit (e.g., PDF of e-mail)

03 BUDGET JUSTIFICATION
Budget Justification should include the breakdown of expenses, as required by the sponsor
E.g., Justification for NSF submissions should follow the PAPPG guide; NIH should follow the detailed or modular budget justification requirements, as applicable.

04 SCOPE OF WORK (DRAFT)
A draft of the project summary/scope of work should be uploaded to TARA/Cayuse.
Specifically, for NSF, a “Broader Impacts” section needs to be included.

05 COVER PAGE
Sponsor-required cover page should be used, if provided (e.g., NSF Fastlane Cover Page, NASA-provided cover, etc.)
If no cover page template is provided by the sponsor, there is a USC cover page template on the VBA website

Note: If submitting through grants.gov, the SF424 page does not need to be uploaded, as this will be reviewed as part of the grants.gov tab
ADDITIONAL DOCUMENTS, IF APPLICABLE

Depending on the sponsor’s requirements, the following may also need to be uploaded as part of the proposal package:

**COST SHARE APPROVAL**

PDF of the cost share approval should be uploaded if there is cost-sharing, including:
- NIH Excess
- Unrecovered F&A (i.e., reduced IDC rate)
- Sponsor required cost-share (i.e., academic effort)

**EQUIPMENT QUOTES**

If equipment is budgeted, please upload the equipment quote from the vendor.

**DISCLOSE REPORTS**

If sponsor is HHS (e.g., NIH), all key personnel diSClose reports must be uploaded to show COI training and annual disclosure were completed and are up-to-date.

Access diSClose related info: [http://research.usc.edu/diSClose/](http://research.usc.edu/diSClose/)

**SUBAWARD PACKET(S)**

When subawards are budgeted, there should be a letter of intent from the subaward agreeing to participate, a budget, a SOW, and, if sponsor is part of Department of Human Health Services (HHS), a Conflict of Interest verification disclosure.

Check FDP Site (if HHS): [http://thefdp.org/default/fcoi-clearinghouse/compliant-entities/](http://thefdp.org/default/fcoi-clearinghouse/compliant-entities/)

**LIMITED SUBMISSION APPROVAL**

If a limited submission proposal, please upload the approval letter from the Office of Research.

**CONSULTANTS**

For consultants, a letter agreeing to participate is needed, with their rates and costs.

If it does not include rates/costs, then a separate budget is required from the consultant.
BUDGET REVISIONS

The sponsor has asked for a budget revision. Now what?
All budget revisions must route through DCG for signature and sending to the sponsor.

REVISED BUDGET
All budgets must first be approved by VBA. DCG will not send to sponsor without VBA approval.

25% THRESHOLD OR COST SHARE
If budget is changing by 25% or more (increase or decrease) or has cost share, this must be re-routed through TARA.

ADDITIONAL FUNDS
After award, if additional money is being provided by the sponsor, then a NEW packet must be routed for VBA and DCG review/approval.
REVIEW BY VBA

What is VBA’s involvement with pre-award?

VBA Research Administrator

- **BUDGET REVIEW**
  - VBA reviews budgets for accuracy (e.g., correct salaries, rates, and equations used) and approves when no errors are present.

- **PROPOSAL REVIEW**
  - VBA reviews proposal in TARA/Cayuse to ensure all fields are completed as required by the sponsor and the budget in TARA/Cayuse is an exact match of the budget going to the sponsor.

- **PACKET REVIEW**
  - VBA reviews and ensures all appropriate attachments are uploaded (e.g., cost share approval, budget justification, subaward packets, etc.).

- **PROPOSAL APPROVAL**
  - Once review is completed, VBA approves the proposal packet in the system to route the proposal to DCG.
RESPONSIBILITY OF DCG

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

Please note: DCG officers are the only individuals authorized to negotiate and sign proposal/award documents on behalf of the university.

DCG Officer

- UNIVERSITY LIAISON
  - Maintains direct contact with the sponsor and subcontract(s), when applicable, and is the university's liaison between the Sponsor and the Department
- AUTHORIZED OFFICIAL
  - Acts as the authorized official of the University, signing documents and submitting official proposal documents, updates, revised budgets, and certifications
- COMPLIANCE
  - Ensures compliance with Sponsor guidelines, terms and conditions, and USC policy
- NEGOTIATES
  - Negotiates all sponsored research award terms on behalf of the University
NEED ADDITIONAL ASSISTANCE?
If you still need help or have questions after going through this training, please utilize the following resources:

CHECK THE WEBSITE
https://viterbibusinessaffairs.usc.edu/research-administration/
The website has additional information/resources that can help guide you in the right direction and is regularly updated.

ASK YOUR DEPARTMENT BUSINESS MANAGER
Contact your DBM or fellow colleagues who may be able to answer your question

CONTACT VBA
Nicole Burelli burelli@suc.edu
Isabel Rodriguez | isabel.rodriguez@usc.edu
Nichole Phillips | nicholep@usc.edu

CONTACT DCG
See handout for corresponding DCG Officer
THANK YOU & FIGHT ON!