



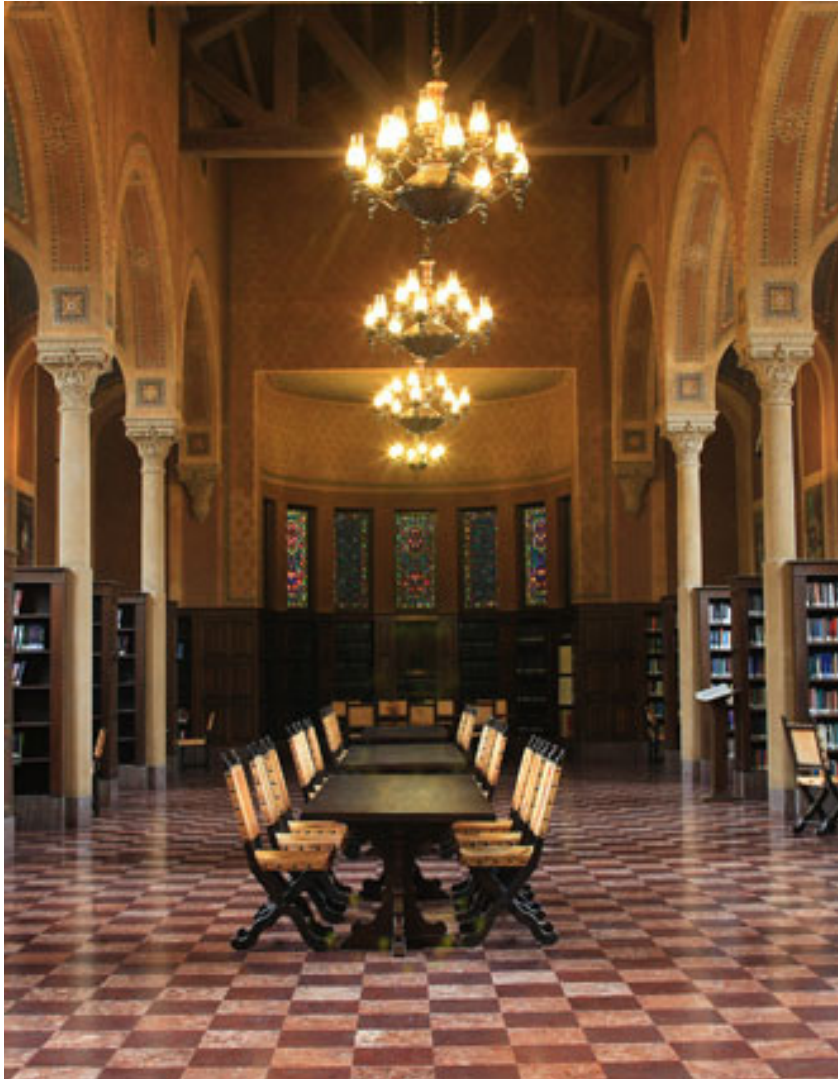
USC
Viterbi
School of Engineering

EPSTEIN FAMILY
ENGINEERING PLAZA

VITERBI PRE-AWARD TRAINING: PROPOSAL SUBMISSIONS

LAST UPDATED: MAY 2022

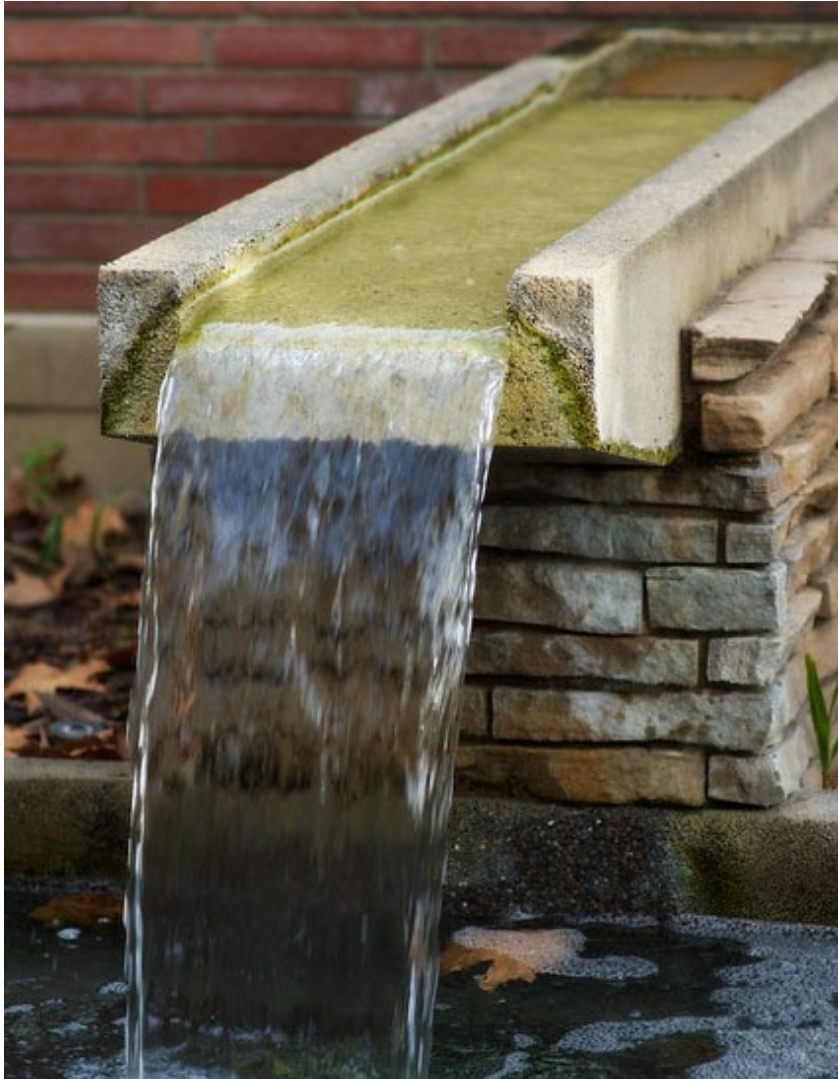




PRE-AWARD TRAINING AGENDA

- 01 **Proposal Submission Process**
- 02 **Proposal Notification**
- 03 **Proposal Timeline**
- 04 **Creating a Budget**
- 05 **Cost Sharing**

06

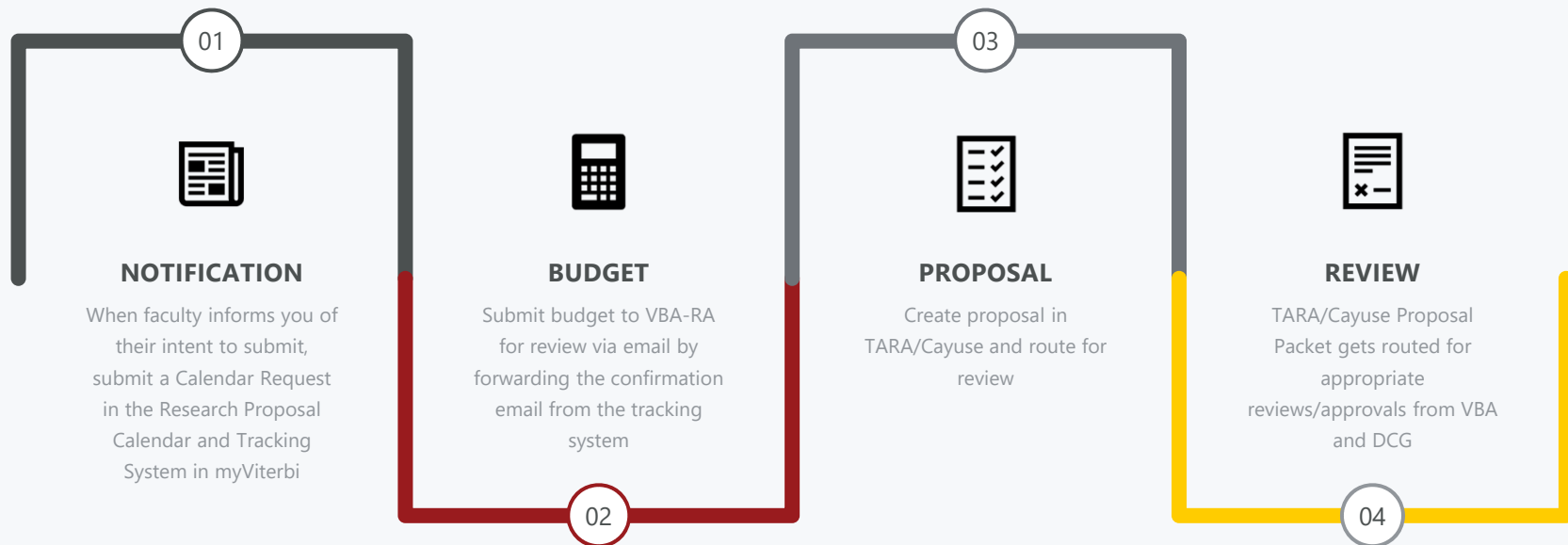


PRE-AWARD TRAINING AGENDA (CONT.)

- 06 **Proposal Submission**
- 07 **Budget Revisions**
- 08 **Review by VBA**
- 09 **Responsibility of DCG**
- 10 **Additional Assistance**

12

PROPOSAL SUBMISSION PROCESS



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://vsoeapp1.vsoe.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

OCTOBER 2021

MON	TUE	WED	THU	FRI	SAT	SUN
27	28	29	30	1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

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:



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



PARTICIPANT SUPPORT

If participant support is included, please include a satellite budget



SPONSOR GUIDELINES

Read the sponsor solicitation to see if there are any requirements (e.g., travel, maximum amount, defined project periods)



SATELLITE BUDGETS

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



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

<https://www.govinfo.gov/content/pkg/CFR-2016-title2-vol1/xml/CFR-2016-title2-vol1-part200.xml>



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.



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



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



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

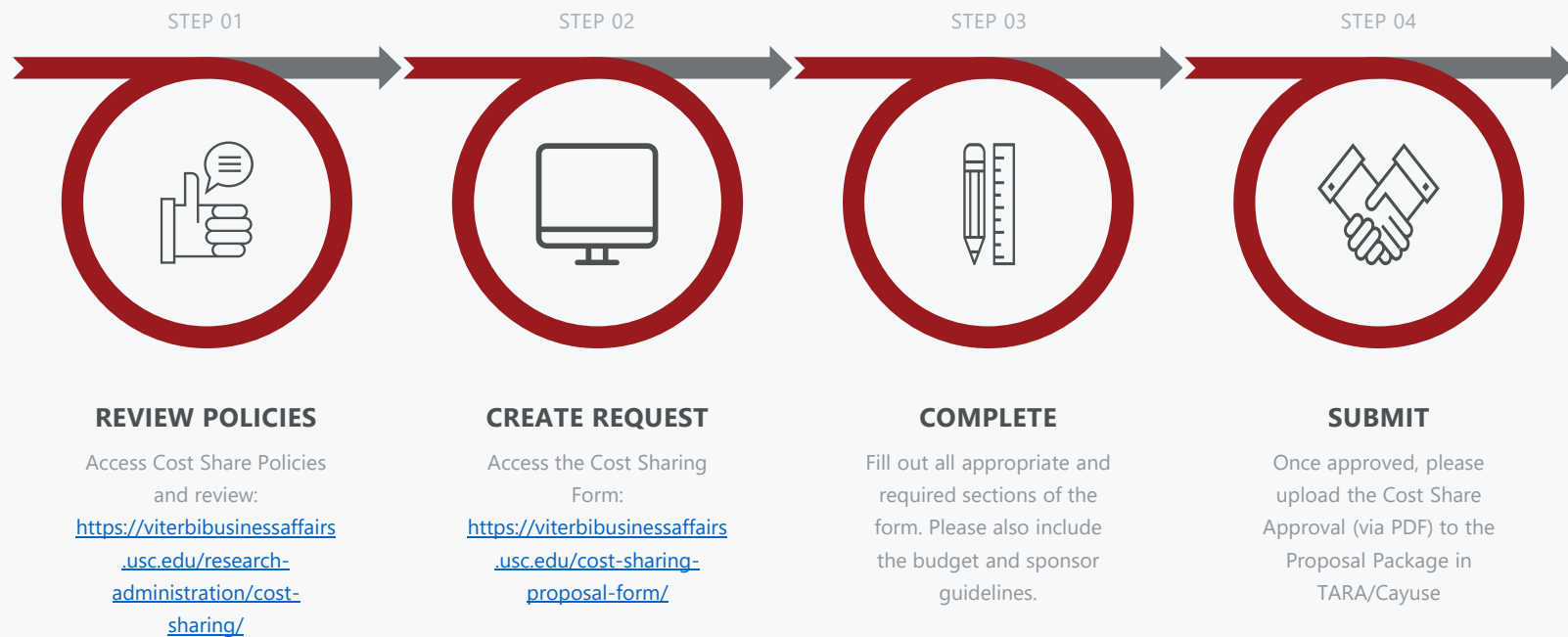
NIH has a mandated salary cap (e.g., \$203,700/12 months for 2022). When a PI has an IBS over that amount, the remaining portion of the salary in excess of the salary cap must be covered by Viterbi

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



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:

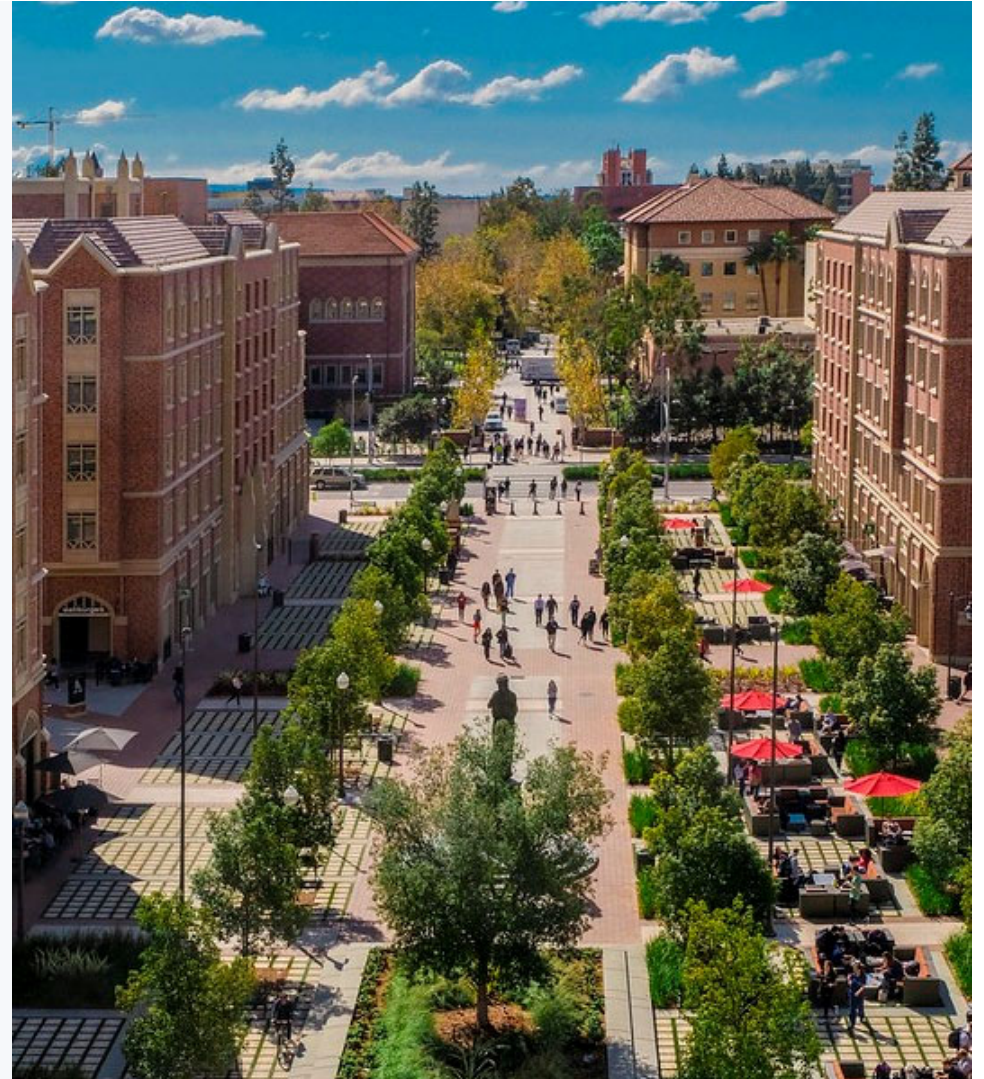
- The Budget in TARA/Cayuse must **match exactly** with what is being sent to the sponsor.
- It is okay for the internal budget attachment to be off due to rounding, if this is not being sent to sponsor.
- If submitting through grants.gov, disable the pop-up block so that you can link to the TARA document

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/>



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/>



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



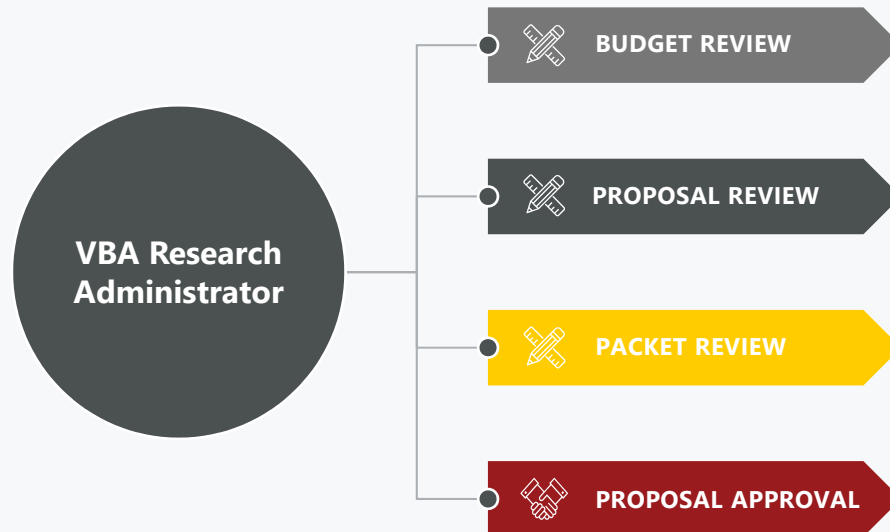
ADDITIONAL FUNDS

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

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

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

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.



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!

