

Proposal Submission Instructions and UCSF “OSR Approval Form”
Instructions for completion and submission

Electronic Proposal Submission to Contracts & Grants

Prepare OSR Approval Form

- Generate the “OSR Approval Form” in Proposal Express. Ensure all fields are complete and data are correct. Get all appropriate sign-offs in original ink.
- Scan “OSR Approval Form”. (C & G will accept electronic or handwritten signatures of the PI, Chair, Dean, and other required signatures.)

Assemble and Scan Packet

- Assemble the **Proposal packet** in this **order**, and then scan it.
 1. OSR Approval Form
 2. COI Documents (if applicable)
 3. Human and Animal Subject Approvals, or other compliance documents
 4. Funding agency instructions, program announcement, Request for Proposals, or other special agency instructions
 5. Proposal

Submit Proposal Electronically

- Email your electronic proposal to CGProposalTeam@ucsf.edu for review by **9:00 a.m. four working days before the agency deadline**, *except* if: a hard copy is required by the agency or your proposal submission is past the four-day deadline. Under these circumstances, please continue to submit a paper copy to our office: Contracts & Grants, 3333 California Street, Suite 315, San Francisco, CA 94118.
- Use the following **subject line header** on all email proposal submissions.
 - *Proposal Express Number, PI last name, PI first name, Deadline date.* E.g.
P0000111, Smith, John 01/01/09

Hints for Successful Submission

- 1) Revert to Grayscale if color is not required.**
Use black and white images and text instead of color images.
- 2) When saving your document use the “Save As” Feature**
“Save As” rewrites the entire PDF document as efficiently as possible. When you choose “Save”, changes are appended to the file which may increase the file size.
- 3) In Adobe Go to the File Menu select “Reduce File Size”.**
- 4) Minimize the number of fonts used.**

OSR Approval Form Completion Instructions

Document initiator’s contact information

- List PI’s or Fellow’s name and contact information.

Validate that investigator is eligible for PI status or file status waiver

- If PI does not meet requirement, indicate “Yes” to request a status waiver. Complete and attach a “Principal Investigator Status Form”: <http://www.research.ucsf.edu/cg/forms/cguicsfform.asp>.

P.I. Status Eligibility
• 50%+ appointment
• Academic appointment

Sponsor Proposal Submission Information

- If the proposal is to be shipped in hard copy, provide the full shipping address (not P.O. Box) of the Sponsor (Agency) and, if required, how proposals are to be distributed in the mailing. Full shipping address include: street address, room number, and sponsor phone number, if available.
- Indicate if sponsor’s submission deadline is based on **Postmark** (deadline when it is to be mailed) or **Receipt** (deadline when it is to be received by the sponsor, regardless of when mailed.)
- Indicate if proposal may be submitted electronically.

Your department contact

- List your department’s contact name and contact information. ORU = Organized Research Unit.

Document budgetary information

For new, renewal, and resubmission budgets

These types of budgets are typically planned to be funded in phases during the life of the project. A budget is composed of Direct Costs + F&A Costs = Total project cost.

- State initial budget period: (From – To) and the initial budget amount. For the initial budget period, break out and note Direct Costs, F&A costs and Total amount.
- State total period (From – To). Proposal Express will calculate total budget amount from the Budget Pages. Show only Total Budget Amount with F&A.
- Show the F&A Rate used in budget calculation. Confirm that rate is appropriate the type of project: <http://www.research.ucsf.edu/cg/memo/cglDC.asp>.

For continuation budgets

- Indicate only begin and end dates and budget data for the single year of the continuation. Do not reference past or future year budget periods.

Anticipated Program Income?

In some case, the activities or results of an ongoing sponsored project may generate income from 3rd parties through such means as: conference registration fees, sales of a test to outside groups; rental or usage fees for use of computer or laboratory equipment purchased with sponsored award funds. (<http://policies.ucsf.edu/400/40018.htm>)

- Indicate if you anticipate earning “program income”.

Cost Sharing

Cost sharing occurs when UCSF pays a portion of the project costs not funded by the sponsor.

If **committed** cost sharing is involved:

- Indicate if it is “Mandatory” (required by the sponsor as a condition of award) and the amount UCSF is committing to
- Indicate if it is “Voluntary committed” (initiated by the PI) and the amount UCSF is committing to.
- Indicate the DPA fund from which the cost sharing will be paid. If multiple funding sources will be used, show how much will be paid from each source.

Do not document any “voluntary **uncommitted**” cost sharing.

Sponsor Program Identification

1. Identify the funding announcement for which the proposal is submitted by number and program title (if any).

- RFP means “Request for Proposal”.
- RFA means “Request for Application”.
- PA means “Program Announcement”.
- Most recently, Federal funding announcements are commonly referred to as FOAs (Funding Opportunity Announcements).

2. State the title of your proposal that you are submitting to that program.

Action Type (Check one)

Proposals are submitted for any of reasons cited below. Indicate the purpose of your proposal

- New
To initiate an original proposal submitted to a specific sponsor.
- Renewal of No. (Reference the RAS A#)
To request a new segment of funding for a previous proposal (competitive).
- Continuation of No. (Reference the RAS A#)
To receive the next year/period of funding previously agreed to contingent on funding and progress (non-competitive).

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- Resubmission of No. (Reference the prior Proposal Express P#)
To submit an altered version of a prior proposal that the sponsor reviewed/did not fund based on sponsor feedback. Revisions are most often made to New, Renewal, or previous Resubmission proposals.
- Supplement of No. (Reference the RAS A#)
To request additional funding or time for activities related to an existing award (e.g. bridge funding). Supplements can vary, e.g. for new additional projects with new scope, request changes to existing budgets, performance periods, or scope(s) of work.
- Transfer In of No. (Enter sponsor reference number, if any.)
An existing award that will be "new" to UCSF usually due to a new faculty member transferring from another institution. Usually applies to grants, where the sponsor wants to maintain continuity of the award.

Type of Agreement if funded (Check one)

State the type of funding agreement that will be entered into with the sponsor if the project is funded.

- Grant
A type of financial assistance award in which the sponsor anticipates no substantial programmatic involvement with the university during the performance of the activities.
- Contract
A legally binding agreement, generally with industry or Federal government to procure a product or service with specific obligations for both the sponsor and recipient. The sponsor typically specifies in detail the research topic and the research methodology.
- Cooperative Agreement
Similar to a grant, but in which the sponsor's staff may be actively involved in proposal preparation and substantially involved in research activities once the award is made.
- Fellowship
A stipend award made to support a registered UCSF postdoctoral scholar.
- Subcontract:
A document written under the authority of, and consistent with the terms and conditions of an award (a grant, contract or cooperative agreement), that transfers a portion of the research or substantive effort of the prime award to another institution or organization.
 - State the subcontractor and list the Prime Sponsor.
- CDA (Confidential Disclosure Agreement)
A legal contract between the university and an external party outlining confidential materials or knowledge the parties wish to share with one another for certain purposes, but wish to restrict from generalized use.

- IPA (Intergovernmental Personnel Act Assignment Agreement)
Provides for the temporary assignment of personnel between the federal, state and local governments, colleges and universities, Indian tribal governments, federally funded research and development centers, and other eligible organizations.
- Incoming MTA (Material Transfer Agreement)
A contract governing the transfer of tangible research materials between two parties for the recipient to use in for his or her own research purposes.
- URC (Unfunded Research Collaboration)
A negotiated agreement to facilitate collaboration between UCSF scientists with those of other institutions without receiving funding. URCs from industry often contain restrictive language that may conflict with academic and intellectual property rights. Such terms must be negotiated.

Type of Funded Activity (Check one)

State the type of activity for which funding is sought

- Research
Investigation or experimentation to discover and interpret facts, revise accepted theories in the light of new facts, or apply new or revised theories. Includes basic, applied and developmental research.
- Instruction
Training UC students, personnel, or prospective employees in research, or in the techniques or practices pertinent to the delivery of health services in the particular area of concern. Includes: NIH career development awards (K awards) and private award to a faculty member for "*career development*", "*scholarship*", "*training*", or "*fellowship*" purposes.
- Public Service
Education, training or dissemination of information to a primarily non-UC, sponsor-designated group of recipients, including "conference awards". Example: training county staff on new procedures for HIV prevention.
- Clinical Trial
The controlled, clinical testing of Investigational New Drugs (INDs) or Investigational Devices (IDEs). Includes: an FDA-regulated medical device study, testing of a protocol under the sponsorship of an approved national cooperative consortium, an UCSF studies that support an FDA-approved clinical trial being conducted elsewhere.
 - Do NOT classify projects involving animal subjects as clinical trials.
- Other Clinical Service
A one-time sale of a pre-developed clinical test or clinical evaluation service by a UC faculty member and associated staff. Example: a city HIV screening clinic.
 - If the test is modified, improved or developed in any way to provide the service, classify the agreement as "sponsored research".

- Equipment purchase
To purchase equipment items only
- Other
For activities that do not clearly fit within other categories, e.g. a travel grant, program evaluations.

Mandated Reviews and Approvals

The following disclosures and institutional approvals are Federally-mandated. Approvals must be obtained either when the proposal is submitted, or where indicated, before work may be begun on a project and funding accepted.

- Indicate the approvals attained and approval status, as applicable.

Institute on Animal Care and Use Committee on Animal Research (IACUC, formerly known as Committee on Animal Research (CAR)): Required if research involves the use of vertebrate animal research subjects.

- If approval is obtained, check YES and attach approval
- If approval is not yet obtained, check NO and also indicate if it is Pending or JIT (just in time)

Human Research Protection Program (HRPP, formerly known as Committee on Human Research (CHR)): Required if research involves the use of human research subjects.

- If approval is obtained, check YES and attach approval.
- If approval is not yet obtained, check NO and also indicate if it is Pending or JIT (just in time)

Radiation Safety Committee

Approval is required if research involves the use of radioactive materials.

- If approval is obtained, check YES
- If approval is not obtained, check No

Biosafety Committee

Approval is required if research involves Recombinant DNA.

- If approval is obtained, check YES
- If approval is not obtained, check NO

Use of human stem cells

Approval is required if research involves the use of human stem cells.

- If yes, obtain Human Research Protection Program (HRPP) approval.

Tobacco industry sponsored research

Projects to be funded by the tobacco industry must be internally reviewed and specifically approved in writing by the Chancellor. "Tobacco industry" is defined as "entities whose principal business is the manufacture and sale of tobacco products, and agencies that are substantially controlled by or acting on behalf of such entities."

- If this project will be funded by tobacco industry funds, check "Yes".
- If not, check "No".

For help determining if a sponsor is considered part of the tobacco industry, contact Wanda Ellison: wanda.ellison@ucsf.edu, or Contracts and Grants Interim Director, Erik Lium, PhD: erik.lium@ucsf.edu.

Subawards

- If a portion of the work is going to be done by another institution AND that institution is listed as a subawardee on the budget, check "Yes".
- If not, check "No".

Subawards with foreign entities

- If the subawardee is NOT a US institution, click "Yes".
- If the subawardee IS a US institution, click "No".

US Personnel Working in a Foreign Country

- If any UCSF personnel are performing any work in a foreign country, including foreign travel for a scientific meeting, check "Yes". If not, check "No".

Unfunded Collaboration

- If work is to be performed by non-US persons or institutions in a foreign country and that person or institution is not being paid, check "Yes".
- Otherwise, click "No".

Research funded by American Recovery and Reinvestment Act (ARRA) 2009

ARRA 2009 funds are allocated by the Federal government to stimulate the national economy. If a project is to be funded by Federal economic stimulus (ARRA, 2009) funds, UCSF must meet Federal reporting and other time-limited requirements in the administration of this project.

- Check "Yes", if your project is to be funded by ARRA 2009 funds.
- Check "No", if it is not to be funded by ARRA 2009 funds.

If you are uncertain if your project is funded by ARRA 2009 funds, confirm by checking your "Funding Opportunity Announcement" (FOA) or by visiting grants.gov. Contact Debbie Caulfield: 476-2782 with questions.

Conflict of Interest:

Appropriate financial disclosure forms must be submitted for evaluation of conflict of interest of persons with responsibility for the design, conduct and reporting of the research are reviewed. Double check that the appropriate form(s) is/are being submitted:

<http://www.research.ucsf.edu/coiac/index.asp>

- Check "Yes", if COI forms are required. Attach applicable forms.
 - If Form 700U is required, scan it along with the other proposal documents AND send the original hard copy of Form 700U with original signature and the "P" number inserted in the upper right corner (by "ID") to COI Division, Box 0962, whether the form is negative or positive.
- Check "No" if COI forms are not required.

NIH applications only: Faculty Joint Appointment VAMC/UCSF

Indicate if this project involves faculty with a joint VAMC/UCSF Appointment. A "shared appointment" occurs when the faculty member's time is distributed between working for the Veterans Administration Medical Center (VAMC) and working for UCSF. Shared appointments are documented in a Memorandum of Understanding (MOU):

<http://www.research.ucsf.edu/cg/forms/mouform.doc>. Instructions for filling out the Memorandum of Understanding: <http://www.research.ucsf.edu/cg/forms/MOUinstructions.doc>

Attach one copy of the signed memorandum of understanding (MOU).

Special instructions

- Enter special handling instruction in the Proposal Express field provided.

Space commitment

By signing the OSR Approval Form, the PI affirms that s/he anticipated, planned for, and secured adequate space for conducting the research if it is funded.

- Check the box to indicate the site(s) where the research space is located, whether on campus or off campus.
- In the space provided, indicate which department administers the space and is extending it to your project.

Sign Off

Ensure the OSR Approval Form is signed and dated by all appropriate parties

- Principal Investigator: Certifies accuracy and completeness of information provided and accepts full responsibility for the conduct of the research project if it is funded.
- If Fellowship, mentor signs and dates
- Chair of the Administering Department/ORU Director
- Dean (If Required). For Dean's signature requirement, see: <http://www.research.ucsf.edu/cg/polproc/cgDeansig.asp>
- Other approvals (if required)