

Subject: Grant Pre-Award Processing Guidelines & Procedures

Date First Put into Effect: May 5, 2019
Date of Latest Revision: May 5, 2019
To: InCHIP PIs, Staff, & Students

These guidelines and procedures are in effect until superseded.

➤ **InCHIP Grant Pre-Award Processing**

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➤ **Purpose**

- To provide guidance on the preparation of the pre-award proposal to ensure that it is submitted to Sponsored Program Services (SPS) accurately and on time

➤ **Overview of Procedures**

* **IMPORTANT NOTE: In order to submit a grant through InCHIP, a Principal Investigator (PI) must be an InCHIP affiliate.**

- The PI completes the **InCHIP Pre-Award Grant Services Request form** for the InCHIP Director to review and certify that the project is consistent with InCHIP’s mission. This form can be found from the InCHIP website under “InCHIP Services/Grant Management Support.” The website address for this form is:

<http://www.chip.uconn.edu/chip-business-office/grant-management-support/>
- Once the proposed project has been approved by the Director (or their designee), the Grants Manager will contact the PI to start working on the preliminary steps for the proposal (see below)
- SPS will conduct the final review of the proposal to ensure that it is in compliance with Federal, State, and University regulations before submitting it to the sponsor.

➤ **Budget and Documentation Submission to InCHIP**

1. **SPS REQUIREMENTS** – **Internal Proposal Routing (IPR)** form must be signed by PI and all key personnel that are UConn employees in the proposal, and complete the **Significant Financial Interest Review (SFIR)** form in InfoED.
2. **BUDGET** - As early as possible, the Grant Manager will work collaboratively with the PI to create a preliminary budget.
3. **BUDGET JUSTIFICATION** - The PI must provide a budget justification as early as possible in the process. SPS requires a detailed budget; all items in this budget must be included in the budget justification. For the NIH modular budget, the personnel justification can be submitted to SPS.
4. **SUBAGREEMENTS WITH OTHER INSTITUTIONS** - If there is going to be subcontracts from other institutions, the InCHIP Principal Investigator (PI) must get a **very early** start obtaining budgets and approvals from each subcontractor. For each subcontracting PI, the **Information and Compliance Form for Subrecipients**, must be completed and signed by an Authorized Representative from that institution.

5. **CONSULTANTS** - The PI needs to obtain letters of intent from each named consultant prior to the submission to SPS. The letter must provide information about each consultant's hourly rate and anticipated hours per week per year that each consultant will be working.
6. **BIOSKETCHES** - Biosketches have a very specific sponsor format and is required to be completed for all key personnel. The Grant Manager will provide the PI with an example (if needed).
7. **InCHIP RESOURCE NEEDS** – The PI must specify what InCHIP resources he/she will need in order to conduct this research (e.g., InCHIP office space, InCHIP IT needs).
8. **RESEARCH PLAN** – SPS requires that a draft of the research plan be provided.
9. **ELECTRONIC SUBMISSION** – The Grants Manager will assist the PI in completing the electronic application and will forward a draft copy to SPS for their review.
10. **PAPER SUBMISSION** - A draft proposal should be sent to the Grants Manager at least **7 business days** before the due date to get signature approval from SPS, and to ensure that the paper proposal is sent to the sponsor prior to the deadline.

➤ **Proposal Submission to SPS**

- SPS must receive proposals at least **5 business days** prior to the program deadline to ensure sufficient time to review and approve.
- SPS may have questions for the Grant Manager and the PI. Therefore, it is necessary that the PI be available during this period to answer questions in order to expedite approval of the proposal.

➤ **Proposal Submission to Sponsor**

- Often SPS recommends corrections to proposals. The PI needs to leave sufficient time to work collaboratively with the InCHIP Grant Manager on making the required changes to finalize the proposal.
- It is the PI's responsibility to originate, prepare, and finalize the proposal. The InCHIP Grant Manager will assist with this process, but ultimately the PI is responsible for creating a completed proposal package that meets all the sponsor requirements.
- Prior to submitting the proposal to the sponsor, the PI must provide a statement in writing that he/she has reviewed all of the documents, and the documents are ready for submission.

➤ **University Closing and Sponsor Deadlines**

- **Sponsored Program Services closes its offices at 5:00 pm, Monday through Friday. Therefore, if SPS is submitting a PI's proposal electronically, SPS must submit it by 5:00 pm, even if the sponsor deadline is midnight.**
- In the event of a University closing (due to inclement weather, power outage or other emergency), SPS will be closed. In this situation, the PI with a grant deadline during that period of time, is responsible for contacting the funding agency for an extension of the deadline date.
- If an extension was granted, SPS will work with the PI to get the proposal submitted prior to the new deadline.

➤ **Note**

- **Please note that all INTERNAL UConn grant proposals should be submitted and managed by academic departments. Only external grant proposals are submitted and managed by InCHIP.**