



P – Primary
S - Support

Pre-Award Roles and Responsibilities

<p>Proposal Development: Pre-Award Functions</p>	<p>Principal Investigator (PI)</p>	<p>Pre-award Manager (PM)</p>	<p>Office of Contract and Grant Administration (OCGA)</p>
<p>1. Proactively notifies PM of forthcoming proposals and associated deadlines (within 5 business days) <i>Pre-award email: preawardspharm@mednet.ucla.edu</i></p>	<p>P</p>	<p>S</p>	
<p>2. Provides sponsor information, including name, solicitation, and deadline (adhering to UCLA’s 5 business day deadline for proposal submission)</p>	<p>P</p>		
<p>3. Reviews solicitation for proposal content and to identify need to address indirect cost or PI waiver, cost sharing requirements, conflict of interest disclosure and other requirements.</p>	<p>P</p>	<p>P</p>	
<p>4. Initiates EPASS (Extramural Proposal Approval and Submission Summary) at onset of proposal preparation.</p>		<p>P</p>	
<p>5. Develops and submits waiver requests (F&A, PI, etc.)</p>	<p>P</p>	<p>S</p>	
<p>6. Develops budget using PM’s template based on input from the PI, specifications provided by the sponsor in the solicitation and sponsor-imposed limitations such as DoD indirect cost cap, NIH salary cap, NIH limit on student compensation and NSF senior personnel effort limit.</p>	<p>S</p>	<p>P</p>	
<p>7. Updates faculty curriculum vitae and publication lists as needed for proposal submission.</p>	<p>P</p>	<p>S</p>	
<p>8. Obtains current and pending support lists from SeRA database; compares against current awards and pending proposals, updating as needed. Sends to PI for further review.</p>		<p>P</p>	
<p>9. Supplemental materials: facilities, budget justification, letters of support, exceptions, etc.</p>	<p>S</p>	<p>P</p>	

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10. Prepares technical aspects of proposals and submits to PM: <ul style="list-style-type: none"> • Updates CV, publications list, and other documents as needed by sponsor • Prepares and gives input for budget justification • Establishes sources for support of cost sharing and/or matching; obtains needed letters • Completes project description 	<p>P</p>		
11. Compliance requirements: <ul style="list-style-type: none"> • Submits protocol to IRB, IACUC • Discloses export control related data or Conflict of Interest (COI) • Follows procedure for biosafety, data security, etc. 	<p>P</p>	<p>S</p>	
12. Coordinates collaborative proposals: <ul style="list-style-type: none"> • Coordinates the preparation of collaborative proposals (e.g., proposals that involve PIs from one or more departments, schools or institutions). This includes collecting proposals, and subrecipient commitment forms from subaward institutions. • Collects consultant support letters as needed 	<p>S</p>	<p>P</p>	
13. Assembles and uploads proposal: <ul style="list-style-type: none"> • Uploads all proposal sections (i.e., Cayuse, FastLane, or other electronic applications) • Follows sponsor guidelines for submission (e.g., NSF: PI must allow SRO access) • If proposal will be submitted as a PDF file or hard copy, assembles all sections into a complete proposal. 	<p>S</p>	<p>P</p>	
14. Finalizes EPASS: <ul style="list-style-type: none"> • Ensures that proposal package is completed including proposal content, sponsor solicitation, required waivers and compliance approvals. • Reviews formatting and make adjustments for PI to approve 	<p>S</p>	<p>P</p>	

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15. Reviews proposal to ensure: <ul style="list-style-type: none"> • Sponsor is properly identified (e.g., solicitation or request for proposal reference is accurate) • Proposal is in compliance with University and sponsor guidelines • Application is complete • Waivers and approvals are in place • Compliance panel submissions are identified • Indirect cost and benefit rates are correctly computed • Prime sponsor (if any) is properly identified • Cost sharing is properly identified and documented 	S		P
16. Ensures that additional required information is obtained from the PI and provided to OCGA		P	
17. Prepares transmittal letter, provides certifications and provides authorized institutional signature. Approves and submits proposal to sponsoring agency on behalf of the University. <ul style="list-style-type: none"> • PM adds PDF of final proposal 			P
18. Follows up with OCGA to ensure that all requirements are met proposal is submitted to sponsor.		P	
19. Maintains official University electronic files in SeRA and saves completed file in new “Active Archive” (insert file location and naming convention)		S	P
20. Ensures Just-In-Time documents are gathered and submitted to OSR	S	P	S
21. Early PTA process (PM advises PI if appropriate, request sent to OCGA for setup)	S	P	S
22. Log proposal and info into proposal tracker/database with goals and specific aims.		P	

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23. Main POC for follow-up and set up of awards		P	
24. Main POC for JIT and progress/final reports.		P	