

## **Submitting a Proposal - What is Needed and When?**

**Who may submit proposals:** Per [UCOP policy](#), to serve as PI on a research project you must be a member of the Academic Senate, hold 50 percent or more of full time in the Adjunct Professor series or Professional Research series. By exception, the Dean may approve the submission of a contract or grant proposal by other appointees in special circumstances when such action is in the best interest of the University, and if space and facilities can be assigned without detriment to the regular instructional and research responsibilities of the University.

To request an exception to submit as PI, please contact the Associate Dean for Research, David Richardson ([dbricha1@hs.uci.edu](mailto:dbricha1@hs.uci.edu)) and Assistant Director for Contracts and Grants Lauren Nguyen ([Insoto@hs.uci.edu](mailto:Insoto@hs.uci.edu)) at least 4-6 weeks prior to the sponsor deadline.

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## **Proposal Development**

### **1. Support Preparing the Text of Your Proposal**

#### UCI Writing Resources & Support:

- Beth Riley – Editorial Director, Office of Research: [briley@uci.edu](mailto:briley@uci.edu)
- Corporate & Foundations Relations: The Corporate and Foundation Relations team can help review letters of intent and proposals, interpret funding guidelines, conduct searches for funding opportunities and help prepare faculty and administrators for site visits with foundation representatives.
  - Heather Fessler, Director of Foundation Relations, [hfessler@uci.edu](mailto:hfessler@uci.edu)
- Lauren Nguyen, Assistant Director, Contracts & Grants, [Insoto@hs.uci.edu](mailto:Insoto@hs.uci.edu)

Specific Aims Feedback: Feedback on your Aims page from the Associated Dean for Research, and an opportunity to identify possible collaborations. Dr. Richardson can provide mentorship to junior and mid-career faculty and help integrate their research with collaborators.

### **2. Preparing the budget of your proposal or subcontract**

Assistance and Review of your Budget: Department capability to work with faculty on budget preparation. Training to ensure that requirements are met for salary, benefits, and F&A.

Budget a Project Manager: The Program/School and your Department have limited resources for administrative support related to grants. Administrative work related to teaching and service cannot be supported by extramural grants. In contrast, activities related to your research program can, and should, be supported by a research project-associated award. This includes assistance with IRB, post-award grant management, project meeting scheduling, coordination with research partners, and reporting activities to the funding agency, as well any other project-related activities related to data collection, data management, analysis, literature and bibliographic management, preparation of materials for presentation and reports, and project-related travel. In short, many of the administration needs in your academic and research life related to research activities can, and

should, be supported through funded project research managers (who may hold a job title such as project analyst 2, or project analyst 3). This frees up your time and reduces demand on Departmental and Program/School staff.

Student Involvement & Support: The Program/School and your Department encourage you to budget a graduate student researcher (GSR) in your project. The cost includes annual stipends for students plus tuition and fees. Tuition and fees may be reduced if allowing for the Dean's contribution to partially offset the cost of tuition and fees for a GSR. Public Health's policy is to budget GSR's at Increment 5 at 50% effort if you plan to include them.

### **3. Additional Assistance**

Facilities & Other Resources: Proposals and subcontracts require a description of relevant facilities and resources at UCI. UCI Public Health and the UCI School of Medicine have created and collected boilerplate material for units and resources on campus that can be included in the Facilities & Other Resources document. To request these descriptions, fill out [this form](#). Additionally, if you have material you can add to this library, please send to Lauren Nguyen at [Insoto@hs.uci.edu](mailto:Insoto@hs.uci.edu).

Biosketches/Other Support: The PPH Office of Research can assist with keeping your biosketches and other supporting documents up-to-date in format and content. Please contact Lauren Nguyen at [Insoto@hs.uci.edu](mailto:Insoto@hs.uci.edu) for assistance.

Budget Justification: Your Research Analyst (RA) can give you a template of descriptions that are commonly used.

Data Management & Sharing (DMS) Plan: The UCI Libraries have developed a [robust webpage](#) to address the following:

- An overview of the 2023 NIH Data Management and Sharing Policy
- Definitions of key terms under the 2023 NIH Data Management and Sharing Policy
- Frequently Asked Questions (FAQs) Templates for Creating NIH Data Management and Sharing Plans (DSMP)
- Process to request a consultation with a Librarian

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## **Submission Timelines**

The PPH Office of Research has created the following guided timelines to ensure proposals are submitted in time to ensure they are complying and given the time and attention needed for successful submission.

This is not an exhaustive inventory of the materials required for a submission, so please be aware that you will need to work with your RA to ensure all required documents are submitted in a timely manner.

Your RA is often working on several proposals at a time with competing deadlines. **It is best practice to contact your RA as soon as you know you are going to submit a proposal.** UCI's Sponsored Projects Administration (SPA) requires proposals to be submitted to their office at least 5 business days prior to the Sponsor Deadline to ensure timely submission. You can review their requirements [here](#).

If you are not following the timelines below, then your RA cannot ensure that your grant proposals are submitted in a timely and complete manner. **If you contact your RA too close to the Sponsor Deadline you may be informed that it is not feasible to submit your grant application in that cycle.**

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## **Submitting your R01**

This guideline is structured for faculty serving as PI or MPI on an R01 or R01-like proposals from NIH; however, this timeline holds for non-NIH proposals (e.g., NSF) that require a similar amount of work and preparation. Large scale mechanisms (P01, U54, T32, etc.) require preparation months in advance. If you are preparing a multi-component or training grant, please contact Lauren Nguyen at [Insoto@hs.uci.edu](mailto:Insoto@hs.uci.edu) to see if there is extra program management available for preparing your proposal.

A checklist for a standard R01 proposal submission is provided below.

### **4 – 6 weeks prior to the Sponsor Deadline:**

Contact your RA to indicate your plan to submit a proposal. Let them know the following:

- PI name
- Funding opportunity announcement number (or the grant's web link this is in response to)
- Sponsor deadline (i.e., application due date)
- Project title
- Project start and end dates
- Indicate if there are subcontracts (and contact information)
- Indicate if there is a required cost share

*Your RA will let you know if there are any special requirements to be aware of.*

### **3 weeks prior to the Sponsor Deadline:**

Provide your RA with the following information:

- Names of Key Personnel
- Draft Budget and Budget Justification information (personnel names, effort, travel, supplies, etc.)
- Draft Project Summary/Abstract
- Indicate if there is any Research Protections (IRB, IACUC, etc.) needed, and approval details (status, dates)
- Completed Questionnaires (KR and Cayuse) – [Click link to download form](#)

Your RA will let you know when draft and finalized documents are due.

### **2 weeks prior to Sponsor Deadline:**

Provide your RA with the following:

- Final Budget and Budget Justification

### **Typically, 7 days prior to Sponsor Deadline:**

You should have the following ready to provide:

- Biosketches for Key Personnel
- Subcontract documents (if applicable)
- Project Narrative
- Bibliography
- Facilities and Other Resources: to request boilerplate material, fill out [this form](#).
- Equipment
- Introduction (for resubmissions and renewals only)
- Specific Aims
- Research Strategy (draft or final)
- Letters of Support (if any)
- Multi PI Plan (if applicable)
- Resource Sharing Plan
- Human Subjects Documents, Vertebrate Animals, etc. (if applicable)
- Authentication of Key Biological and/or Chemical Resources

Your RA will begin to move your application through SPA for signatures needed prior to grant submission.

### **2 days prior to Sponsor Deadline: Research Strategy and all other documents are required to be in final form and routed to SPA.**

## **Submitting a Proposal as a Co-Investigator**

For submissions in which you are listed as a Co-I (or other Key Person role) on a proposal that will be submitted through UCI, the Contact-PI should be working with their affiliated RA on meeting the submission deadline and will contact you for materials as needed. You should also inform your RA about the submission on which you are listed as Co-I.

As general guidelines, the Contact-PI should be reaching out to you weeks prior to the sponsor deadline to discuss and finalize the project budget, budget justification, and your involvement.

### **Typically, 10 days prior to Sponsor Deadline:**

You should have the following ready to provide to the PI:

- Information for the Budget/Budget Justification (salary, percent effort)
- Biosketch
- Facilities & Other Resources
- Equipment (if applicable)

## **Submitting a Proposal as a Subcontract**

The following guideline is intended to facilitate working with your RA when you will be participating via a subcontract to another university. Getting a subcontract in place can take time and requires signatures from UCI prior to grant submission, your RA will work with you to get the subcontract agreement in place in time for the Prime Sponsor deadline.

The lead institution will typically need the completed subaward package weeks prior to the sponsor deadline and in most cases give you an internal deadline. Therefore, it is best practice to contact your RA as soon as you know that you are going to be involved in a proposal as a subcontractor and to connect your RA with the lead institution's RA.

### **3-4 weeks prior to the Sponsor Deadline:**

Contact your RA (e.g., send an email) and let them know the following:

- PI name and institution
- Contact information for the lead institution
- Funding opportunity announcement number (or web link this grant is in response to)
- Sponsor deadline (i.e., application due date)

### **At least 2 weeks prior to Sponsor Deadline:**

Provide your RA with the following:

- Statement of Work
- Subaward Budget and Budget Justification
- Letter of Support on Institution's letter head and signed [template available]
- Biosketches of all proposed collaborators at UCI
- Institutional Facilities & Other Resources
- Any other documents required by lead institution

**2 days prior to Sponsor Deadline: Research Strategy and all other documents are required to be in final form and routed to SPA.**

## Checklist for NIH R01 Applications

This document does **NOT** replace the detailed information available within the Funding Opportunity Announcement. Particular funding opportunity announcements may have specific requirements that may not be included in this checklist. **Always refer to the FOA** and contact your RA if you have any questions regarding requirements.

Reference: [Page Limitations](#), [SF-424 Guide](#)

Other Project Information Form	Page Limits/Instructions	Responsible Party
<b>Project Summary/ Abstract</b>	<p>30 lines of text maximum. This is meant to serve as a succinct and accurate description of the proposed work when separated from the application. State the application's broad, long-term objectives and specific aims, referring to the health relatedness of the project. Describe concisely the research design methods for achieving the stated goals. This section should be informative to other persons working in the same or related fields and insofar as possible understandable to a scientifically or technically literate reader.</p> <p><i>An abstract which exceeds this allowable length may be flagged as an error by the agency upon submission.</i></p>	PI
<b>Project Narrative</b>	<p>Describe the relevance of this research to public health in, at most, three sentences. If the application is funded, this public health relevance statement will be combined with the project summary (above) and will become public information.</p>	PI
<b>Bibliography &amp; References Cited</b>	<p>Use of hyperlinks and URLs in this section is not allowed unless specified in the funding opportunity announcement.</p>	PI
<b>Facilities &amp; Other Resources</b>	<p>Describe how the scientific environment in which the research will be done contributes to the probability of success (e.g., institutional support, physical resources, and intellectual support). In describing the scientific environment in which the work will be done, discuss ways in which the proposed studies will benefit from unique features of the scientific environment or from unique subject populations or how studies will employ useful collaborative arrangements.</p>	PI; to access inventory of boilerplate material, fill out <a href="#">this form</a> .
<b>Equipment</b>	<p>List major items of equipment already available for this project and, if appropriate, identify location and capabilities</p>	PI

<b>Other Attachments</b>	Attach a file to provide additional information only in accordance with the FOA and/or agency specific instructions.	PI
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<b>Key Personnel</b>	<b>Page Limits/Instructions</b>	<b>Responsible Party</b>
<b>Biosketches</b>	5 pages maximum to include items A, B & C Required for all Key Personnel.	PI & RA

<b>Budget Documents</b>	<b>Page Limits/Instructions</b>	<b>Responsible Party</b>
<b>Detailed Budget</b>	PI will share needs and budget ideas with RA. RA will prepare a budget for PI review.	RA
<b>Budget Justification</b>	Use the Budget Justification to provide the additional information requested in each budget category identified above and any other information the applicant wishes to submit to support the budget request.	RA & PI
<b>Modular Budget</b>	For budgets less than \$250k per year in direct costs. RA will create internal budget for PI to review, but will transfer modular details into proposal.	RA & PI
<b>Personnel Justification</b>	For Modular budgets only. RA will provide PI with template. PI only needs to complete justification sections for applicable personnel duties and responsibilities.	RA & PI

<b>Research Plan Form</b>	<b>Page Limits/Instructions</b>	<b>Responsible Party</b>
<b>Introduction</b>	1 page maximum; (for resubmissions and renewals)	PI
<b>Specific Aims</b>	1 page maximum. State concisely the goals of the proposed research and summarize the expected outcome(s), including the impact that the results of the proposed research will have on the research field(s) involved. List succinctly the specific objectives of the research proposed (e.g., to test a stated hypothesis, create a novel design, solve a specific problem, challenge an existing paradigm or clinical practice, address a critical barrier to progress in the field, or develop new technology).	PI
<b>Research Strategy</b>	12 page maximum. In the specified order: Significance, Innovation, Approach	PI
<b>Vertebrate Animals</b>	If live vertebrate animals are involved in the project, address each of the following criteria: Description of Procedures, Justification, Minimization of Pain and Distress. Each of the criteria must be addressed. Failure to adequately address the criteria may negatively affect the application's impact score. In addition to the 3 criteria above, you should also: Identify all project performance (or collaborating) sites and describe the proposed research activities	PI

	with vertebrate animals that will be conducted at those sites. Explain when and how animals are expected to be used if plans for the use of animals have not been finalized.	
<b>Select Agent Research</b>	Include a "Select Agent Research" attachment if your proposed activities involve the use of select agents at any time during the proposed project period, either at the applicant organization or at any performance site.	PI
<b>Multiple PI Leadership Plan</b>	If applicable. A rationale for choosing a multiple PD/PI approach should be described. The governance and organizational structure of the leadership team and the research project should be described, including communication plans, processes for making decisions on scientific direction, and procedures for resolving conflicts. The roles and administrative, technical, and scientific responsibilities for the project or program should be delineated for the PD/Pis and other collaborators.	PI
<b>Consortium/Contractual Arrangements</b>	If applicable. Explain the programmatic, fiscal, and administrative arrangements to be made between the applicant organization and the consortium organization(s). If consortium/contractual activities represent a significant portion of the overall project, explain why the applicant organization, rather than the ultimate performer of the activities, should be the grantee.	PI
<b>Letters of Support</b>	PI to correspond and obtain support letters.	PI
<b>Resource Sharing Plan(s)</b>	<u><i>Sharing Model Organisms:</i></u> Regardless of the amount requested, all applications where the development of model organisms is anticipated are expected to include a description of a specific plan for sharing and distributing unique model organisms or state why such sharing is restricted or not possible. <u><i>Research Tools:</i></u> NIH considers the sharing of unique research resources developed through NIH-sponsored research an important means to enhance the value and further the advancement of the research. When resources have been developed with NIH funds, and the associated research findings published or provided to NIH, it is important that they be made readily available for research purposes to qualified individuals within the scientific community.	PI
<b>Data Management &amp; Sharing (DMS) Plan</b>	NIH has developed an <a href="#">optional DMS Plan format page</a> that aligns with the recommended elements of a DMS Plan. Important: Do not include hypertext (e.g., hyperlinks and URLs) in the DMS Plan attachment.	PI



<b>Authentication of Key Biological and/or Chemical Resources</b>	If applicable to the proposed science, briefly describe methods to ensure the identity and validity of key biological and/or chemical resources used in the proposed studies. A maximum of one page is suggested.	PI
<b>Appendix Materials</b>	Only if allowed per FOA	PI

*If applicable:*

<b>Human Subject Documents</b>	<b>Page Limits/Instructions</b>	<b>Responsible Party</b>
<b>Protection of Human Subjects</b>	see SF-424	PI
<b>Inclusion of Women &amp; Minorities</b>	see SF-424	PI
<b>Targeted/Planned Enrollment</b>	see SF-424	PI
<b>Inclusion of Children</b>	see SF-424	PI

<b>Assignment Request Form</b>	<b>Page Limits/Instructions</b>	<b>Responsible Party</b>
<b>Assignment Request Form</b>	This form is optional. Use it only if you wish to communicate specific awarding component assignments or review preferences. There is no requirement that all fields or all sections be completed, you have the flexibility to make a single entry or to provide extensive information on this form.	PI