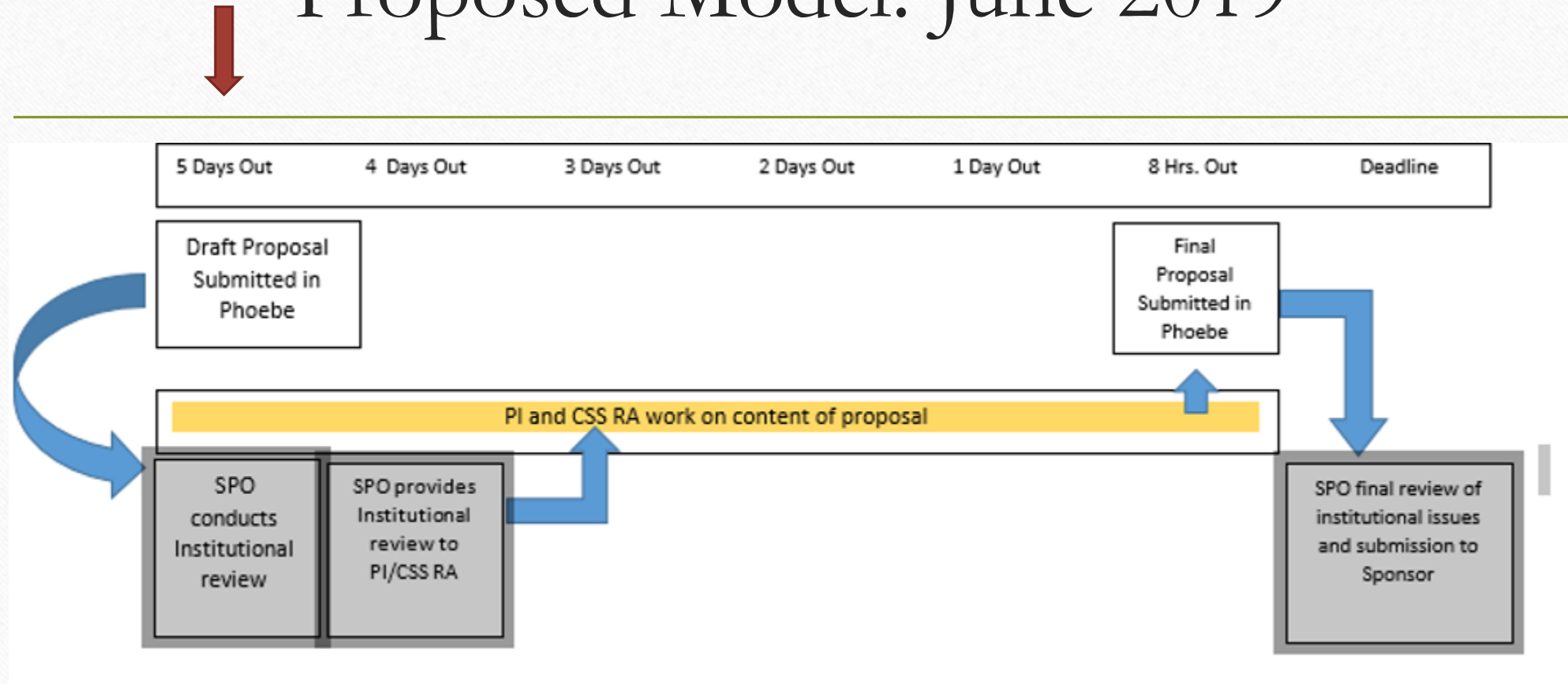# Institutional Proposal Review
The Story Continues…
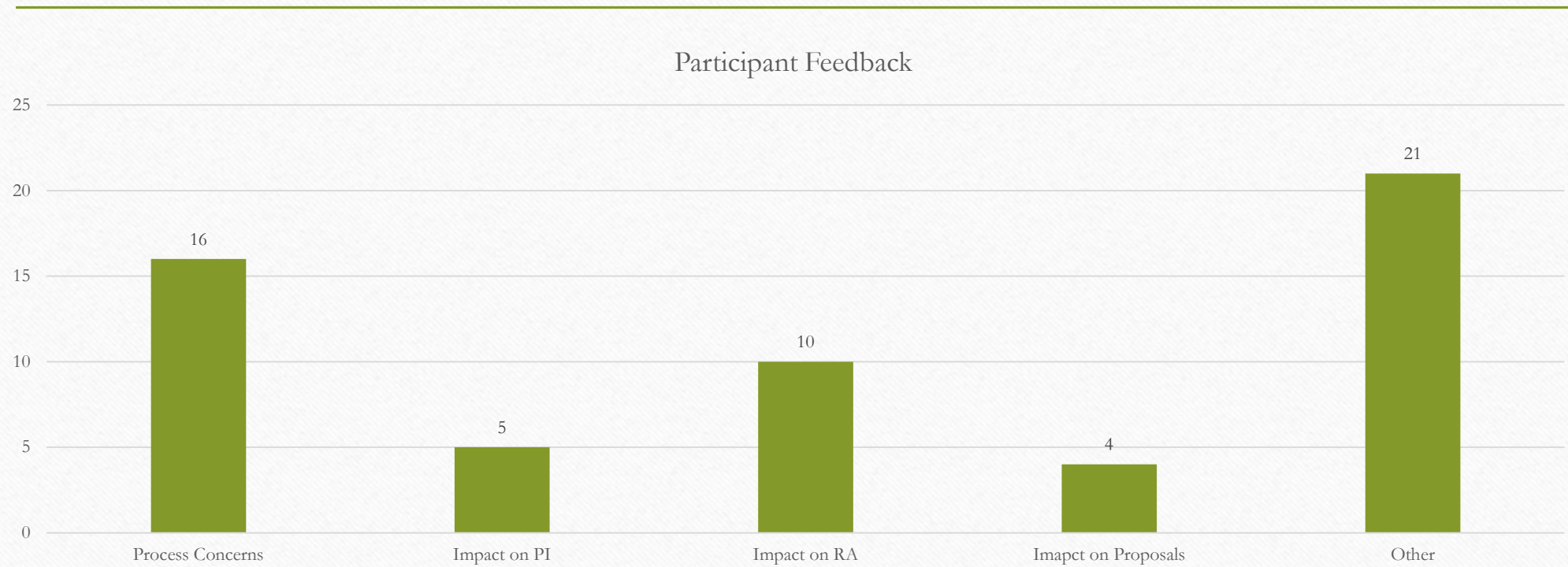
RAC Forum September 4, 2019

Proposed Model: June 2019

Comments: RAC Forum June 11, 2019

Model announced by VCR/VCA

Proposal Submission Timeline
Effective September 1, 2019

7 days prior to sponsor deadline, final administrative section due to BRS RA from PI

(techincal section may be in draft until 8 hours prior to final deadline)

BRS RA has 3 days to conduct review of proposal requirements*

4 days prior to sponsor deadline, submission to SPO

If late, current SPO process is applicable

SPO has 2 days to review institutional requirements and respond to BRS RA/PI

BRS RA/PI have 1 day to make needed changes to institutional requirements

8 hours prior to sponsor deadline, final submission to SPO

* If BRS RA does not receive final administrative section by the deadline, proposal review cannot be guaranteed and proposal will be submitted "as-is." Quality of submission my be impacted.

Total process time= 7 days prior to sponsor deadline

The BRS Review Process

SPO's Review Process

SPO's Revised Deadlines

Four Business Days before Proposal Deadline

Proposals that miss the deadline are subject to the VCR's Late Proposal Policy

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At minimum the proposal must include the following or it will be returned without review by SPO.

- All of the currently listed minimum required fields to save and submit the proposal in Phoebe.

- A budget in the sponsor's format or an internal budget with all institutional rates displayed, each subrecipient's total costs listed, and any proposed cost sharing included.

- A draft of Berkeley's SOW (must be clearly identified if part of a larger project).

- Required proposal forms (filled out) that contain University identifying information and/or require SPO signature.

Minimum Required Fields

- Proposal Type (Clinical Trial, Competing Continuation/Renewal, Limited Submission, Material Transfer, New, Preproposal, Resubmission, Revision, Supplement)

- Award ID (only for Competing Continuation/Renewal and Supplement)

- Sponsor ID

- Lead Unit (only departments that you have permission to create proposals for are available)

- Activity Type (basic research, applied research, training, etc.)

- Project Period (begin and end dates)

- Project Title

Minimum Required Fields (cont.)

- If Sponsor ID 009850 "New Sponsor" is used, Sponsor Contact information
- **Solicitation/RFP/RFA/proposal guidelines/directions (use 'n/a' if not applicable)**
- Sponsor Deadline Type (use 'No Deadline' as the type if no date is specified)
- Proposal tab: Mail By (department or SPO) and Type (electronic or hard copy)
- Key Persons tab: At least one principal investigator
- Questions tab: All questions must be answered
- Financial tab: Dept. ID, Program, total amount requested, on/off campus designation, indirect cost rate

SPO's Revised Deadlines

Eight Business Hours before Proposal Deadline

Proposals that miss this deadline are subject to the VCR's Late Proposal Policy

The proposal must be submitted in final form.

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VCR's Late Proposal Policy

- All late proposals will require VCR approval. To obtain this approval the Principal Investigator (PI) must submit a VCR (Late) Proposal Approval Request Form the day before the proposal deadline.

- This form must be submitted directly from the email address of the dean/chair/head of the submitting unit to: vcrlateproposal@berkeley.edu.

- Forms submitted from a PI's email address and incomplete forms will not be processed.

- Requests submitted to the VCR on the proposal due date will not be approved.

- Limit: Three such approvals per PI per fiscal year (July 1–June 30).

SPO'S REVIEW PROCESS

- Step 1: Decide if the proposal has sufficient information for an institutional review based on the "minimum" elements provided.

- Step 2: Process proposal or return without review

- Step 3: Conduct institutional proposal review

- Step 4: Return comments on institutional issues within two working days with appropriate standard comments

- Step 5: Review institutional elements of final proposal/check for submission errors using sponsor software

- Step 6: Return if institutional issues still exist and/or corrections of submission errors needed/Submit final proposal to sponsor

CGO CHECKLIST

– Institutional eligibility/conflicts

– Special institutional approval (if required)

– Budget issues

– Accuracy of information on proposal forms/statements/disclaimers

– Submission of required internal forms/documents

– T&C's at proposal stage

– Informed consents needed

– Other institutional risks

SPO'S STANDARD COMMENTS

– For federal sponsors only: PIs should provide complete listing of Current and Pending Support from all foreign entities based on the sponsor's specific requirements.

– For proposals that include subrecipients: PI's are responsible for using the Subrecipient vs. Supplier Wizard to make sure all subrecipients meet the required criteria. If it is determined that a subrecipient fails to meet these criteria and is actually a supplier, F&A will be charged on all supplier costs at the award stage.

– (If applicable) There are submission errors identified by the sponsor's software that will need to be corrected by the PI/RA prior to submission by SPO.

– (if applicable) Late proposal approval from the VCR will be required.

WHAT IS NOT REVIEWED BY SPO?

- The PI's eligibility

- X-PI status approval

- Accuracy of what the PI has listed/described as "current and pending" support

- The accuracy of "the amounts" calculated in the budget for anything other than F&A.

- Noting problems with the appearance, format, order, and content of the technical or administrative sections of the proposal.

- Noting grammar, spelling, numbering, and typo errors.

- Determining whether an outside entity should be treated as a subrecipient or a contractor/vendor.

- Ensuring that all attachments required by the sponsor have been included/submitted.

- Personally fixing any major submission errors prior to submitting the proposal to the sponsor.

- Obtaining late proposal approval from the VCR for the PI.

ONGOING FEEDBACK WELCOME