Knowledge of sponsor, institutional, school, and departmental pre-award processes is vital to successfully plan, write and submit your application. To facilitate your application process, please review this information. NOTE: UMMC’s institutional pre-award office is referred to below as the Office of Research and Sponsored Programs (ORSP).

NOTIFICATION

❑ Notify your Department Chair, your Director of Operations, and the ORSP of intent to submit a proposal at least 30 days prior to sponsor’s/prime’s submission deadline.

NOTE: Directors of Operations are very knowledgeable of pre-award processes and may provide pre-award services. However, if you plan to use SOPH Grants Management services, notify Anne Martin as soon as you decide to submit a proposal.

❑ If cost sharing is proposed, notify the ORSP and the SOPH staff member assisting you with your application of the type of cost sharing proposed (mandatory or voluntary).

❑ If a facilities and administrative costs waiver is proposed, notify the ORSP and the SOPH staff member assisting you with your application of the type of cost sharing proposed.

COST SHARING

Policy Briefing. It is the policy of UMMC not to cost share unless required by the sponsoring agency and/or when it is deemed to be advantageous by UMMC. All proposed cost sharing (mandatory or voluntary) requires approval of the Department Chairman or Dean and the Associate Vice Chancellor for Research and must be justified according to the requirements outlined below. The Department Chairman or Dean must identify the pay source for the cost share commitment. Mandatory cost share will not be approved unless it is deemed to be advantageous to UMMC.

❑ Complete and submit the Justification for Cost Sharing Commitment form

❑ If cost sharing or matching/in-kind contributions are mandatory, the Principal Investigator (PI) must include it in the proposal budget.

❑ All cost share contributions in the proposal must be identified on the UMMC Transmittal Form and approved by the Department Chair/Dean.

FACILITIES AND ADMINISTRATIVE COST WAIVER

Policy Briefing. It is the policy of UMMC to recover full F&A costs unless the sponsor explicitly limits or prohibits recovery. An F&A cost (also known as indirect cost) waiver is defined as the acceptance of a rate lower than the approved F&A or institutional rate. Rates documented by sponsor’s public policy that are their maximum rate and are uniformly applied to all grant recipients are NOT considered as waivers. All waivers must be documented and approved using this form. F&A cost waivers are granted on a case-by-case basis. Industry-sponsored clinical trials are not eligible for F&A waivers.

❑ Complete and submit the F&A Cost Waiver Request Form

APPLICATION SUBMISSION PROCESS

❑ Final proposals must be submitted to the ORSP by 9AM five (5) business days prior to the submission deadline. ORSP Proposal Submission Policy

NOTE: If UMMC is a subrecipient, final subaward documents must be submitted by 9AM ten (10) business days prior to the submission deadline.

❑ Detailed budget & justification ORSP Detailed Budget Submission Policy

❑ Letter(s) of Intent to Enter into a Consortium Agreement from subrecipient institutions (signed by subrecipient authorized institutional official), if applicable

❑ Final Application (usually electronic)

❑ Other agency required documentation

❑ Approved Justification for Cost Sharing Commitment form, if applicable

❑ Approved F&A Waiver Request form, if applicable

❑ Completed Transmittal Form

ADDITIONAL UMMC PRE-AWARD/SUBMISSION POLICIES

Limited Submission Proposal Policy
Policy on Routing and Approval of Intramural Research Proposals
UMMC Conflict of Interest Policy
Investigational Drug Policy
UMMC Policy Statement on Scientific and Scholarly Publications