Proposal Preparation and Submission at Caltech

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Outline

- Research at Caltech
- Office of Sponsored Research
- Proposal Preparation & Submission
- Questions?
Research at Caltech
“In all the scientific and engineering departments of the Institute, research shall be made a large part of the work, not only because of the importance of contributing to the advancement of science and thus to the intellectual and material welfare of mankind, but also because without research the educational work of a higher institution of learning lacks vitality and fails to develop originality and creativeness in its students.”

-- excerpt from Caltech’s Educational Policy
California Institute of Technology
Contract and Grant Funding, by Sponsor Type - FY2004

$237,720,911

Federal Agencies 77.3%
Federal Flow-through 17.1%
State and Local Agencies 1.4%
For-Profit Companies 1.2%
Non-Profit Organizations 1.7%
Educational/Research Institutions .9%
Foreign Entities .4%

EXHIBIT III
California Institute of Technology
Federal Contract and Grant Funding - FY2004

Total Federal Funding: $226,863,906

DoD 11.3%

NIH 19%

NASA 8.6%

DOE 6.3%

Federal Flow-through 18.7%

Other Federal .2%

NSF 35.1%

DOI (USGS) .7%

Total DOD Funding: $25,556,104

Navy 4.8%

Air Force 2.8%

Other DoD .1%

Army 2.4%

DARPA 1.1%
Office of Sponsored Research
Mission of OSR

Provide assistance to faculty in the preparation and submission of research proposals, and in the negotiation, execution, and administration of the resulting contracts and grants.
OSR’s Role at Caltech

- Delegated authority to submit proposals for research and other sponsored activities
  - Federal, State, County, Municipal Government
  - Other Universities
  - Corporations
  - Private Foundations/Non-profit organizations
  - Research Laboratories (i.e., JPL, LLNL)

- Negotiate and accept awards:
  - Grants
  - Contracts/Subcontracts
  - Cooperative Agreements
  - Fellowship and trainee awards
OSR’s Role (cont.)

- Interpret federal regulations and sponsor policies;
- Develop and implement training programs in research administration for Caltech administrative staff;
- Support Committees on Human Subjects and on Sponsored Research.
Proposal Preparation & Submission
Criteria for Proposal Submission

- Project is consistent with mission of Caltech and Division;
- Personnel, space, and other necessary resources are available;
- Commitments for cost sharing have been secured;
- Approvals (IRB, IACUC), or permissions to deviate from Caltech policy, obtained or in process
Division Approval Form

- **Required for:**
  - New
  - Renewal (competing continuation)
  - Supplemental proposals

- **Signed by PI and Division Chair**
  - PIs who are not members of the faculty (e.g. postdocs) must include endorsement memo from faculty member, approved by Provost’s office.

- **DAF is not submitted to sponsor; retained in proposal file to document internal approvals**
Roles & Responsibilities

- PI identifies funding source
  - Prepares proposal
    - in response to solicitation (RFP, RFQ, PA, BAA, etc.), or at sponsor’s request;
    - unsolicited in accordance with published guidelines, or knowledge of sponsor’s interests
Grant Managers/Division Administrators provide support to PI:
- Review of agency requirements/guidelines
- Budget preparation
- Completion of forms
- “Putting it all together”
- Routing of Division Approval Form (DAF) and proposal
Roles & Responsibilities (cont.)

- **OSR review**
  - Cost analysis (allowability, reasonableness, allocability)
  - Compliance (sponsor requirements, human/animal subjects, hazardous materials, conflict of interest, Institute policies)
  - Representations and Certifications, Assurances (Debarment/Suspension, Lobbying, Drug Free Workplace, etc.)

- **Submission to Sponsor**
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<th>Contact Person</th>
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