

Proposal Preparation and Submission at Caltech

David J. Mayo
Associate Director
Office of Sponsored Research
david.mayo@caltech.edu

Outline

- u Research at Caltech
- u Office of Sponsored Research
- u Proposal Preparation & Submission
- u Questions?

Research at Caltech

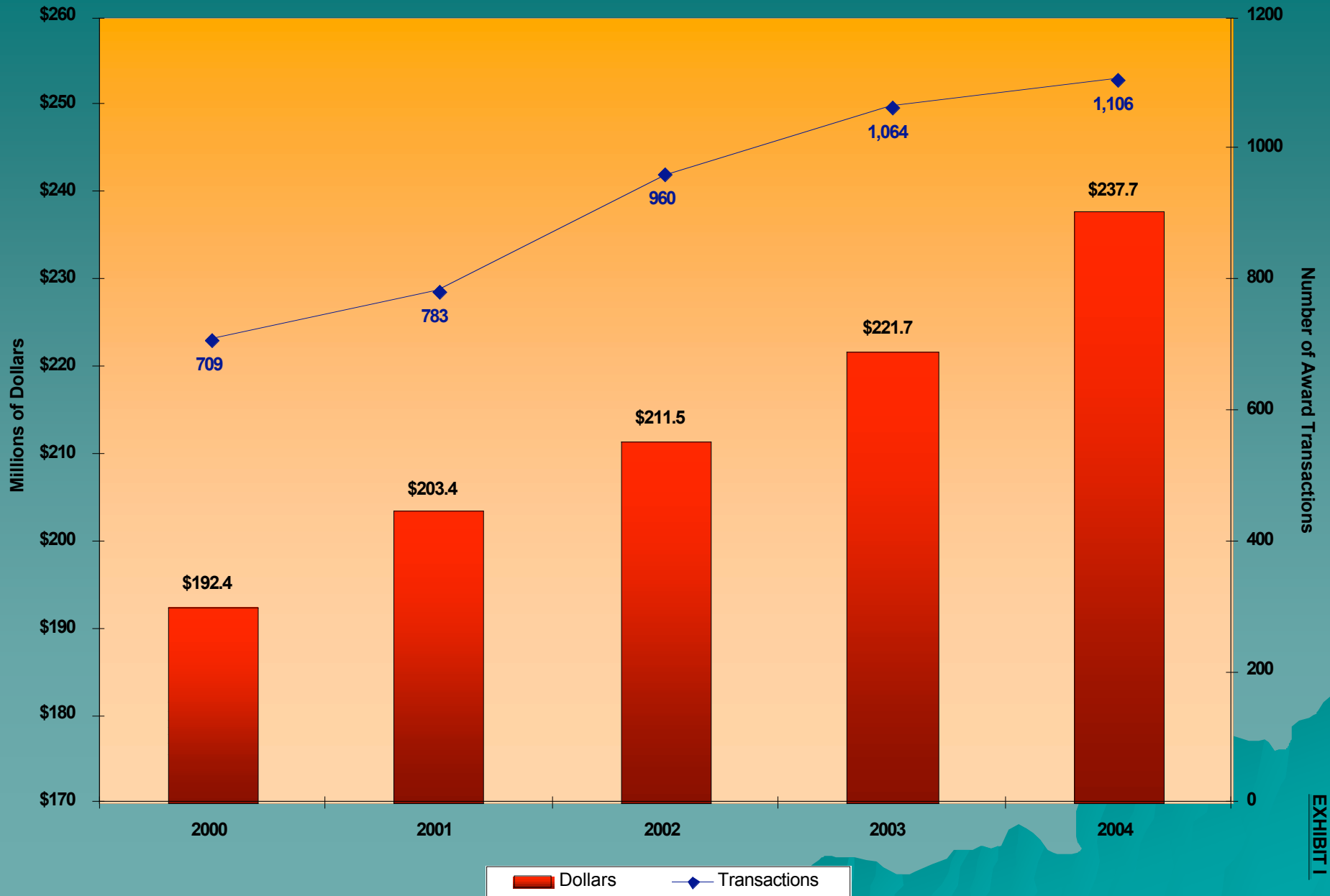
The background is a teal gradient that transitions from a darker shade at the top to a lighter shade at the bottom. In the bottom right corner, there is a silhouette of a mountain range in a slightly darker teal color.

Caltech's Research Mission

“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

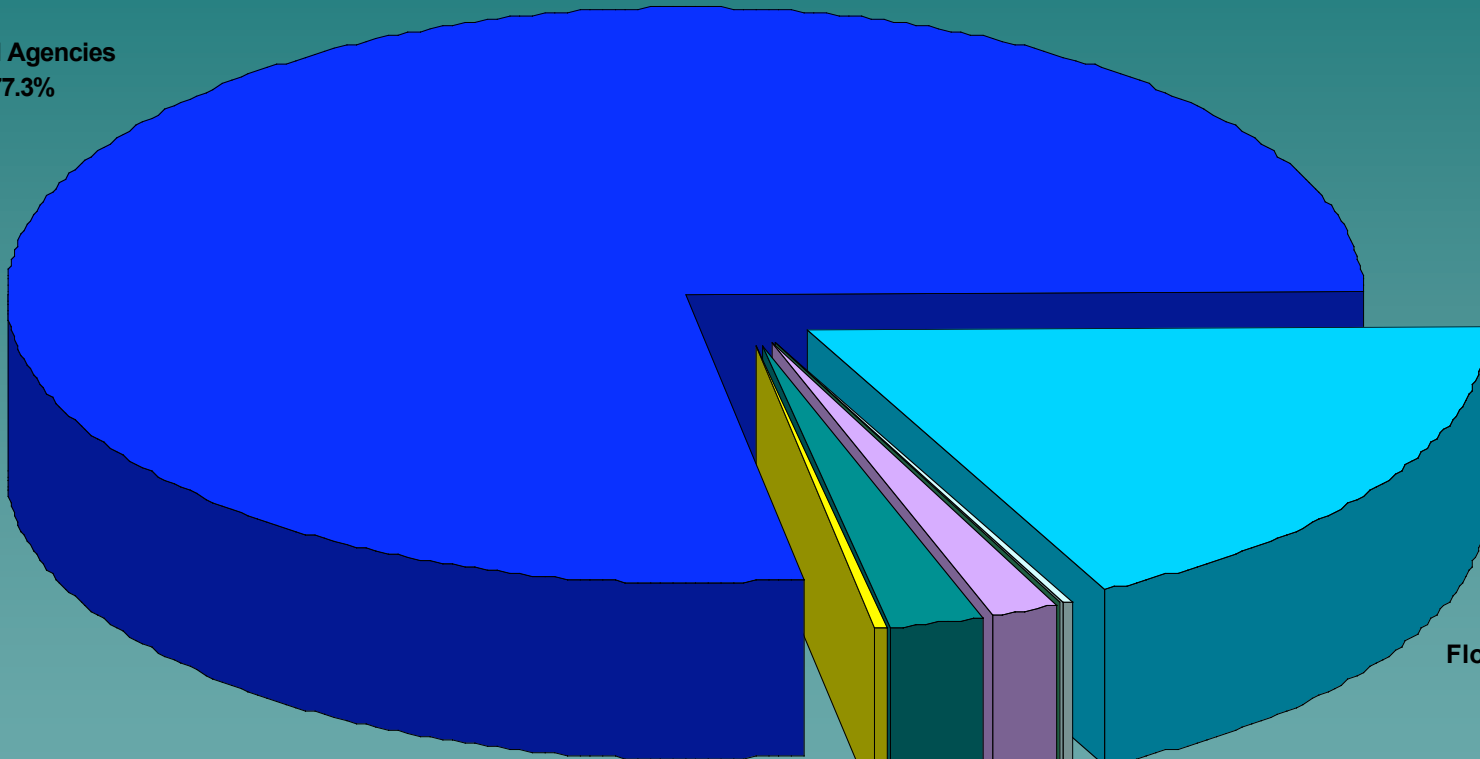
California Institute of Technology Contract and Grant Funding: FY2000 - FY2004



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%

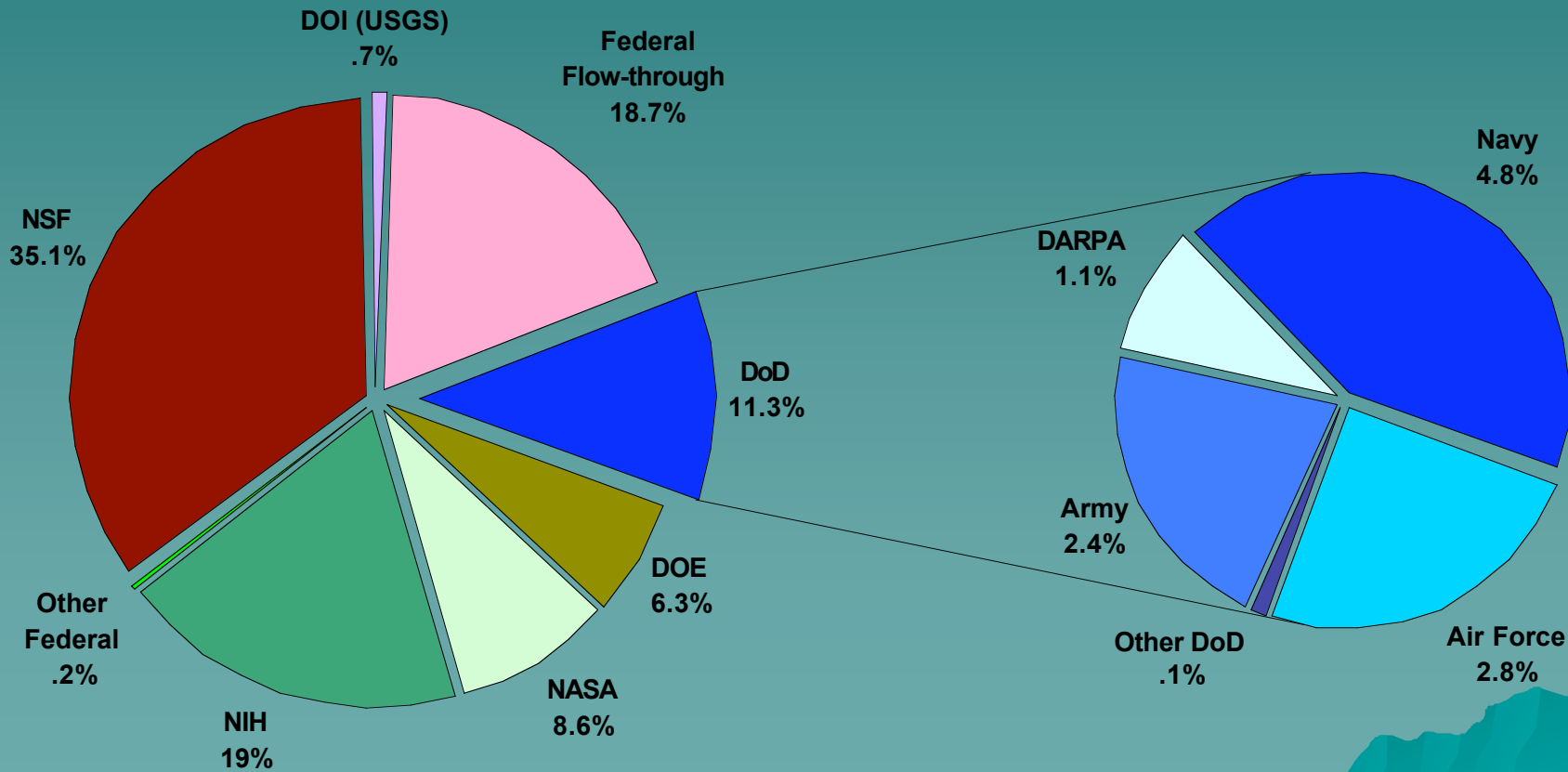
Educational/Research Institutions
.9%

Foreign Entities
.4%

California Institute of Technology Federal Contract and Grant Funding - FY2004

Total Federal Funding:
\$226,863,906

Total DOD Funding:
\$25,556,104



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.

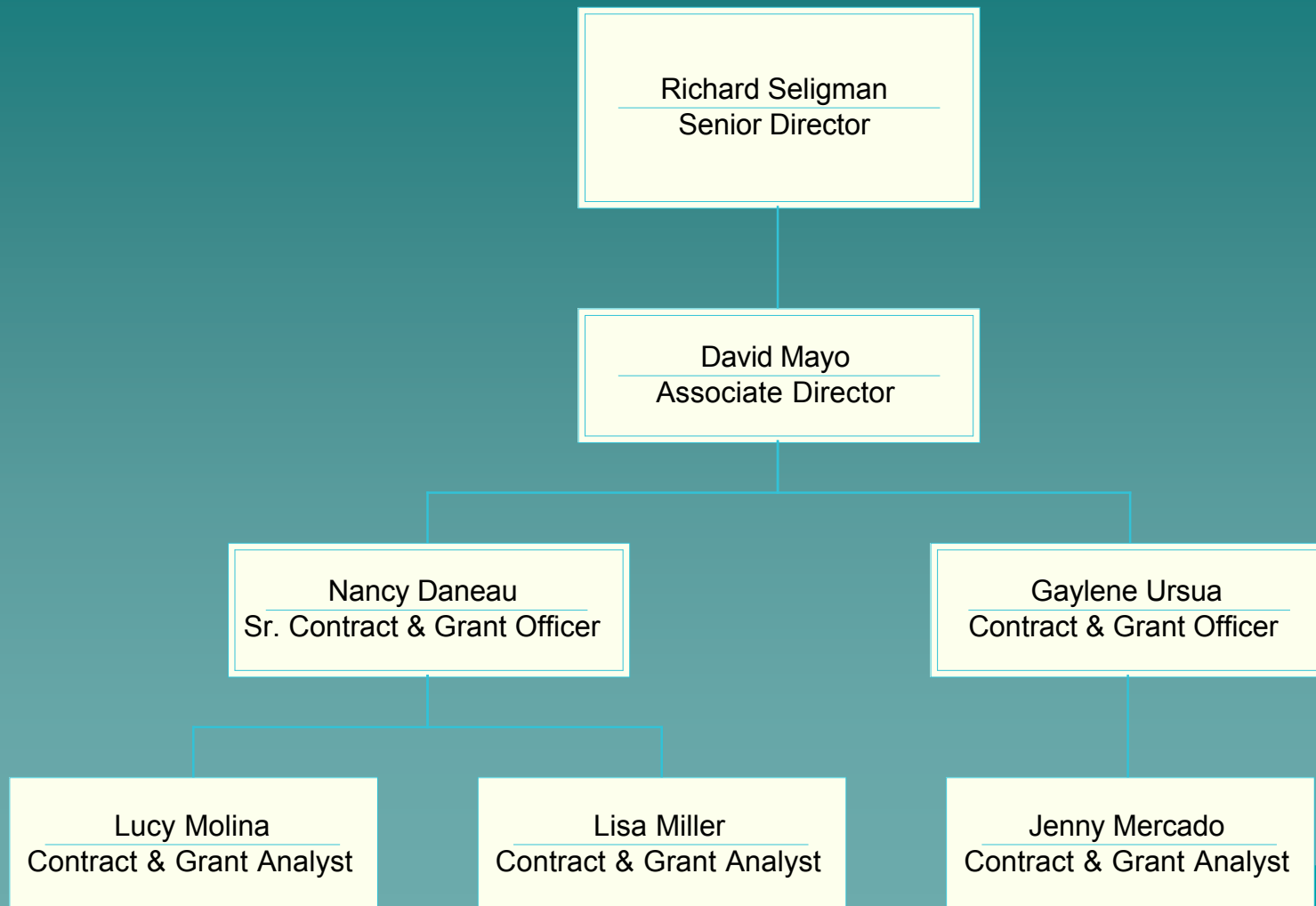
OSR's Role at Caltech

- u 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)
- u Negotiate and accept awards:
 - Grants
 - Contracts/Subcontracts
 - Cooperative Agreements
 - Fellowship and trainee awards


OSR's Role (cont.)

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

Organization



Proposal Preparation & Submission

The background is a solid teal color. At the bottom right, there is a silhouette of a mountain range in a slightly darker shade of teal.

Criteria for Proposal Submission

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

Division Approval Form

- u Required for:
 - New
 - Renewal (competing continuation)
 - Supplemental proposals
- u 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.
- u DAF is not submitted to sponsor; retained in proposal file to document internal approvals

Roles & Responsibilities

- u PI identifies funding source
 - Prepares proposal
 - u in response to solicitation (RFP, RFQ, PA, BAA, etc.), or at sponsor's request;
 - u unsolicited in accordance with published guidelines, or knowledge of sponsor's interests

Roles & Responsibilities (cont.)

- u 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.)

u 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.)

u Submission to Sponsor

Who to Contact in OSR...

Biology Math Physics	Lucy Molina x2372 lucy.molina@caltech.edu
Astronomy Engineering & Applied Sciences	Lisa Miller x3339 lisa.miller@caltech.edu
Chemistry & Chemical Engineering Geological & Planetary Sciences Humanities & Social Science	Jenny Mercado X6357 jenny.mercado@caltech.edu

Questions?