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October 2016






Proposal Submission, Review and Acceptance

Lourana Swayne - lswayne@wsu.edu
Office of Research Support and Operations (ORSO)

Maurcen Bonnefin, CRA - maurcenb@wsu.edu
Office of Research Advancement and Partnerships (ORAP)

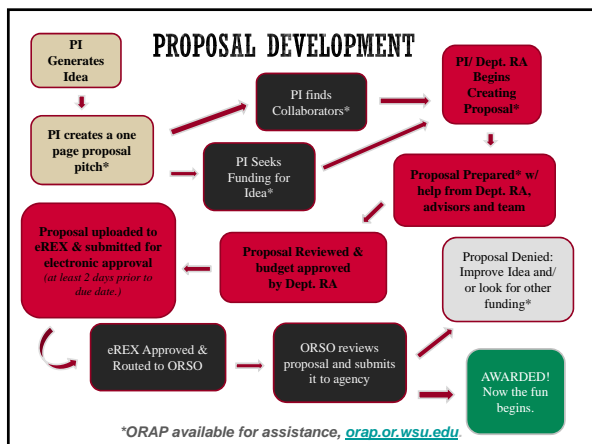


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Recording date of this workshop is
October 28, 2016

Some of the rules and procedures discussed
in this workshop are subject to change.

Please check university resources
before relying exclusively
on this recorded presentation.



Fundamentals of the Proposal Process

- It starts with an Idea- Faculty member defines a problem and identifies a solution.
- Funding source or opportunity is identified.
- With the help of department, proposal package developed based on instructions provided from the funding agency.*
- Proposal and attachments are uploaded to eREX and routed through ORSO to obtain required signatures.
- ORSO reviews proposal package and submits to Sponsor
- If proposal is funded, ORSO begins award negotiation and acceptance

* ORAP can help with this stage if the proposal is sufficiently large enough, or a identified as a priority by the Office of Research.

Three Tips for a More Successful Proposal


1. Read the RFP!!! (Request for Proposal)

- Also referred to as the Call, Solicitation, or Broad Agency Announcement
- One of the most crucial and most often missed steps.
- Why is the RFP important?
 - The RFP includes what programs/projects/research the agency would like to fund as well as what type of organizations they generally fund (Universities, foundations, corporations, etc).
 - The RFP outlines the application's requirements (i.e. maximum funded amount, overhead and cost share limitations, mandatory attachments).
 - Includes instructions regarding how to submit and when to submit.

RFP Example: USDA SCRI

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Three Tips for a More Successful Proposal


2. **PI should collaborate with department staff to prepare the budget.**
 - Identify project specifics (e.g. dates) and collaborators
 - Identify how items will be paid if awarded (personal service contract or subcontract)
 - List items that are attractive or unusual (i.e. laptops, fabricated equipment)
 - Cost share commitments are rare and must be approved by the department (or outside entity) making the commitment.
 - Example of unintentional cost share: Line item in budget charges one month summer for PI. *Budget justification says that PI will devote one month summer and 25% of each academic semester.*

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Budgeting Assistance

- ORSO Guideline #2 (Budgeting Assistance Information for Preparing Sponsored Program Proposals)
- ORSO training to obtain budget certification.
- Budgeting for Sponsored Projects class (Research Administration Series).
- All proposal budgets must be certified before they are routed with eREX
 - Budget certified department administrator
 - OR
 - ORSO – two weeks prior to deadline for approval
 - Guidelines and templates at <http://orso.or.wsu.edu>


Guidelines and budget template can be found at <http://orso.or.wsu.edu>



Three Tips for a More Successful Proposal

3. Be mindful of the submission deadline.

- Recommended that faculty let you know ASAP when they know they will submit a proposal and have all supporting documents and a draft budget completed and to you 2 weeks prior to submission.
- Gather support documents ahead of time (e.g., biosketches, current and pending, letters of support).
- PI should have technical info written on time to allow others to contribute and review.
- ORSO requests proposals to be submitted via eREX minimum 2-3 days in advance of the due date, the proposal must be in final form at the time the eREX is submitted & ORSO must be granted access to it (if required by the submission method).
- Last minute submissions are often not reviewed which increases the chance of a failed submission to Sponsor.



What ORSO will need at Proposal Stage

- Completed and electronically approved eREX Form.
- Approved Budget (uploaded into the eREX, Attachment 2).
- Backup documents (uploaded into the eREX), such as Subcontract budget/letter of support/scope of work, F&A Statement, Cost Share Statement as applicable.
- One copy of the proposal for ORSO in the agency format uploaded into Attachment 1.
- A hard copy (ies), if required by the agency, with a Request for Shipment Form for your FEDEX package.
- Use the "Special Comments" section for the information a Coordinator will need to know to submit the proposal properly, e.g. if submitting by email, the email address and list of what needs to be sent, any uploads that need to be signed by the Director prior to sending.





Proposal Support and Resources

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ORAP
Office of Research Advancement & Partnerships

Pre-Proposal Development

- Locates Funding Sources
 - <http://informer.or.wsu.edu>
 - <http://pivot.ces.com>
- Conducts Proposal Writing Classes
- Coordinates the Office of Research funded grant competitions & Limited Submissions

Proposal Development

- Provides proposal writing assistance
- Large Proposal Development & Management
- Strategic Partnership Development
- Budget assistance in partnership with the department

ORSO
Office of Research Support & Operations

Proposal & Award Processing

- Reviews/submits proposals
- Drafts/negotiates contracts
- Coordinate w/SPS for change requests & allocations
- Certifies/assures adherence to policies and regulations
- Monitors/reports certain activity
- Advise faculty, staff & graduate students on any of these items

Confidentiality/Material Transfers

- Obtains non-disclosure agreements
- Handles material transfer agreements
- No money, licensing, equipment agreements

ORA
Office of Research Assurance

Law & Regulation Compliance Policy

- Human Subjects (IRB)
- Hazardous waste & shipment, radiation
- Use of animals for research (IACUC)
- Export controls
- Biosafety (IBC)
- Conflict of Interest
- Pesticide Policies
- Reviews possible research misconduct

Post Award Approval Review

- Assists with compliance

Find out more at <http://orap.or.wsu.edu>, <http://orso.or.wsu.edu> & <http://www.ora.wsu.edu>

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The EREX Form

(Electronic “Request for External Support” Form)

An in depth discussion of what you need to include for proposal submission.

Don't forget the trainings/updates for ethical conduct and COI

Federal Flow through is especially important to note

Subs will need to register in SAM.gov

Foundation Relations Directors can be listed as a **departmental contact** but the primary RA should change their approval to "Auto-approve" status before approving the eREX for routing.

If your proposal references additional support with a defined percentage of effort or associated dollar amount, the entire amount, including voluntary, should be included.

Please note the amount of voluntary cost share in the comments section.

If the support is not intended to be measured and reported as a monetary amount, please include the **Other Support** disclaimer.

Other Amount – subs^{3rd} party; get authorizing letter.



Checks before submitting the eREX

- Budget(s) approved are certified; this includes cost sharing
- PI credit goes to the PIs academic tenure department
- ORSO 2 day review (this clock starts AFTER all approvals are in place, not when you initially submit the REX to ORSO)
- Include specific submission instructions in the Special Comments box
- Is the F&A correct? Attach supporting docs if requesting non standard rate.
- Do the total dollar amounts match on the eREX, proposal, justification and sponsor budget? Do the dates from the proposal match the eREX?
- Foreign collaboration? Did you attach the Stanford decision tree?
- Is the **FINAL** version of the proposal attached to the eREX?



MyResearch

- Your proposal will be logged into MyResearch and given an ORSO Number.
- It will be reviewed by a Coordinator and submitted with the Authorized Institutional Signature once the requirements of WSU and the agency have been fully met.
 - MyResearch is accessed through the ORSO website allowing for inquiries to be made on specific activities for each project.
 - PI's, Research Administrators, and other departmental figures are given access depending on their role at WSU.
- MyResearch (a.k.a ORSO database) provides the WSU Research Community with:
 - Tracking System
 - Dissemination and Communication
 - Reporting



Using MyResearch

- Logging onto MyResearch
- Function Tabs
 - PI Dashboard
 - Distribution
 - Grants Tab
 - Award Reports
 - Proposal Reports

<https://myresearch.wsu.edu/login>

If Denied... RESUBMIT!!!

- ORSO Processing of Denied proposals
- Importance of Reviewer Comments
- Preparing your proposal for resubmission
- ORSO assistance for resubmission or location of other funding possibilities

Awarded!!!

```

graph TD
    A["AWARDED!  
Now the fun begins"] --> B["ORSO receives award"]
    B --> C["Are Research Compliance Protocols Needed? Work with ORA"]
    B --> D["Subawards? Work with ORSO"]
    B --> E["ORSO routes to Dept/RA & PI for review (if needed)"]
    B --> F["ORSO reviews award for acceptance, negotiates changes as needed"]
    B --> G["ORSO has Dan Nordquist sign award & returns it to the agency for execution (if needed)"]
    E --> H["Dept/ RA returns award to ORSO with approval &/or changes to be made"]
    F --> I["ORSO sends executed copy of award to SPS"]
    G --> I
    H --> I
    I --> J["SPS sets up WSU account, manages invoices & financial reports"]
    I --> K["If changes to the project after award work with RA and ORSO"]
  
```

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If Awarded...

- If you received the award directly, make sure ORSO has a copy
- Check the ORSO Database for updates
- Be prepared for Contract Negotiation
- You may be asked to include MTA's, NDA's and other No-Money Agreements in addition to your contract.
- Subcontracts? Fill out initiation form: <http://orso.or.wsu.edu/forms.asp>

ORSO Processing

- Receive award/contract
- Log information in database
- Appropriate college review and coordinator review and/or negotiation
- University Authorized Official signature (this is not the PI although they may be asked to sign in addition to the AO)
- Does the information need to be returned to the agency for execution?

Full Execution/Setup

- Distribution of fully executed contracts and awards.
- Award docs are sent to Sponsored Programs Services for account setup
- Help along the way – amendments, no cost extensions and other relevant items.
- Reports, reports, reports – ours and yours
 - Agency Reports
 - WSU Award and Proposal Reports
 - Financial Reports (SPS)



This has been a
WSU Training
Videoconference

If you wish to have your attendance documented in your
training history,
please notify Human Resource Services
within 24 hours of today's date:

hrstraining@wsu.edu
