Proposal Submission, Review and Acceptance

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Recording date of this workshop is September 14, 2017

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.

PROPOSAL DEVELOPMENT

PI Generates Idea

PI finds Collaborators

PI finds Funding for Idea

Proposal uploaded to eREX & submitted for electronic approval

Proposal Reviewed & budget approved by Dept. RA

Proposal Approved & routed to ORSO

ORSO reviews proposal and submits it to agency

AWARDED! Now the fun begins.

*ORAP available for assistance, orap.or.wsu.edu

PI creates a one page proposal pitch

Proposal Updated to eREX & submitted for electronic approval
**Fundamentals of the Proposal Process**

- Starts with an Idea - Faculty member defines a problem and identifies a solution.
- Funding source or opportunity is identified.
- In the event a Pre-Proposal is required, it may be directly submitted to the agency, unless it requires something more than a brief letter of interest from the PI (e.g. institutional authorization/certification or contains a budget).
- With the help of the department, the proposal package is developed based on instructions provided from the funding agency.*
- Proposal and attachments are uploaded to the eREX and routed through ORSO to obtain required approvals.
- ORSO reviews proposal package and submits to Sponsor.
- If proposal is funded, ORSO begins award negotiation and acceptance.

* ORAP can help with this stage of the proposal. Proposals >$1M, junior faculty proposals, and proposals aligned with WSU strategic initiatives are given priority.

**Tips for a More Successful Proposal**

*Read the RFP!!! (Request for Proposal)*

- Also referred to as the Call, Solicitation, Funding Opportunity Announcement, or Broad Agency Announcement.
- One of the most crucial and most often missed steps.
- General application information is also found on the agency’s website.
- Why is the RFP important?
  - The RFP includes the programs/projects/research areas that the agency would like to fund as well as the 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**

**Group Activity**
Tips for a More Successful Proposal

Resources to prepare a certified budget.
- ORSO Guideline #2 (Budgeting Assistance Information for Preparing Sponsored Program Proposals).
- ORSO training to obtain budget certification.
- Take the “Budgeting for Sponsored Projects,” “Effort Certification,” and “Cost Sharing” classes during the Research Administration Series (RAS).
- All proposal budgets must be approved before they are routed with the eREX by:
  - Budget certified department administrator
  - ORSO – two weeks prior to deadline for approval.
- Guidelines and templates at [http://orso.or.wsu.edu](http://orso.or.wsu.edu)

Tips for a More Successful Proposal

Gather supporting documents ahead of time.
- Items to Gather Early in the Process: Biographical Sketches/CVs, Current & Pending Support, Conflict of Interest, Disclosure of Lobbying Activities, Environmental Questionnaires, Personnel/Grad Student salary verification
- Other Common Supplemental Docs: Facilities, Equipment and Other Resources, Data Management Plan, Human Subjects Protection, Management Plan, Bibliography, Project Summary/ Specific Aims*
- Letters: Letters of Support/Commitment, Letters of Cost Share Commitment, Third Party Cost Share Commitment (both University & Industry require authorized signatory – start early)
- Other: F&A and Benefit Rate Agreements, etc.

* ORAP has templates and can help the PI draft these documents.

Tips for a More Successful Proposal

Be mindful of the submission deadline.
- Faculty should let you know ASAP when they know they will submit a proposal. They should have all supporting documents and a draft budget completed and to you 2 weeks prior to submission.
- Start filling out eREX and agency application form (Workspace, Fastlane, ASSIT, etc) as soon as you find out about the proposal.
- PI should have technical info written in time to allow others to contribute and review, recommend having a full draft ready 1 month before due date.
- 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). Exception for Narrative Hold.
- Last minute submissions are often not reviewed which increases the chance of a failed submission to Sponsor.
The eREX Form

(Electronic “Request for External Support” Form)

Checks before submitting the eREX

- Is the **FINAL** version of the proposal attached to the eREX?
- Is the budget approved by a certified RA; including cost sharing (is it attached to the eREX)?
- Ensure PI credit goes to PI’s academic tenure department and the sum of all Co-PI credit is equal to 100%.
- Include specific submission instructions in the “Special Comments” box, e.g., if submitting by email, include email address, list of docs to be sent, docs to be signed by the ORSO Director prior to sending.
- Is the F&A correct? Attach supporting docs if requesting a non standard rate.
- Do the total dollar amounts and period of performance dates match on the eREX, proposal, budget justification, and sponsor & WSU budget?
- Foreign collaboration? Did you attach the Export Control Decision Tree?
- Supporting documentation is attached (Subcontract budgets/LOS/SOW, F&A Agreement, Cost Share Statement, etc.)

**ORSO and MyResearch**

- Upon eREX approval, proposal is logged into MyResearch, assigned an ORSO Number, and assigned to a Coordinator.
- Coordinator will thoroughly review and submit the proposal with the Authorized Institutional Signature once the requirements of WSU and the agency have been fully met.
- If hard copy(ies) are required by the agency: mail, or hand deliver, copies along with a Request for Shipment Form for your FEDEX package to ORSO.
- MyResearch can be accessed through the ORSO website.
- PI’s, Research Administrators, and other departmental figures have access depending on their role at WSU.
- MyResearch provides the WSU Research Community with:
  - Tracking System
  - Dissemination and Communication
  - Reporting

**If Denied… RESUBMIT!!!**

- ORSO will process the proposal as denied and will await a revised resubmission.
- Have the PI carefully read and understand the Reviewer Comments. These are important for resubmission as they will need to be addressed in the revised narrative. ORAP is available to help edit and update the narrative.
- Prepare your proposal for resubmission. This will require you to review the new RFP to ensure no changes have been made and update any applicable supplemental documents.
- ORAP can help with the resubmission process or they can help find other funding possibilities for the project.

**AWARD PROCESING**

- Subawards?
  - Work with ORSO
- ORSO receives award
  - ORSO reviews award for acceptance, negotiates changes as needed
  - Dept/RA returns award to ORSO with approval &/or changes to be made
  - ORSO sends executed copy of award to SPS
  - ORSO has Dan Nordquist sign award & return it to the agency for execution (if needed)
  - SPS sets up WSU account, manages invoices & financial reports
  - ORSO routes to Dept/RA & PI for review (if needed)
- Are Research Compliance Protocols Needed?
  - Work with ORA
- ORSO sends executed copy of award to SPS
  - SPS sets up WSU account, manages invoices & financial reports
  - ORSO routes to Dept/RA & PI for review (if needed)
When Awarded…

- If you received the award directly, make sure ORSO has a copy.
- Check the MyResearch database for updates.
- Be prepared for Contract Negotiation. Your ORSO Coordinator will work with the agency on the 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
- For more information on contracts and subcontracts take the RAS classes “Ins and Outs of Contracts” and “Subcontracts.”

ORSO Processing of Award

- Receive award/contract and log in MyResearch.
- Send to appropriate college for review (via DN Memo or otherwise), when required/requested.
- Coordinator will review contract and prepare for signature/negotiation.
- University Authorized Official Representative signs document, NOTE: This is not the PI, although they may be asked to sign in addition to the AOR.
- Does the document need to be returned to the agency for execution?
  - Send back to Agency for full execution, otherwise, process to Sponsored Program Services.

Account Setup & Post Award

- ORSO will distribute fully executed contract/award to SPS and to the Agency, as necessary.
- SPS will review the award and set-up the project account. If the budget has been split to account for multiple departments or PIs multiple accounts will be created.
- For post award changes work with ORSO – Amendments, No Cost Extensions, PI Change, etc.
- Reports, reports, reports – ours and yours
  - Agency Reports
  - WSU Award and Proposal Reports
  - Financial Reports (SPS)
- For more post award best practices attend the rest of the Research Administration Series.
Working with Faculty

- Get to know your faculty and their field of research. Set up one-on-one meetings to go over goals and suggest RFPs.
- Express your willingness to provide excellent service but remind them that in order to do this they must give you time to do your job effectively. This will result in a better product and higher chance of success!
- Set up a means of providing regular communication with all your faculty. Develop a culture in which you are the first one they contact with grant questions.
- Stress that you are in a position to protect the PI and University from audit risk – get your faculty to buy into this philosophy.
- Now is the time to set boundaries and expectations. Use your newness to the department as a tool to implement new procedures.
- You are the expert in your field. Make sure you project this – if you don’t know the answer – use your resources.

ORAP
Office of Research Advancement & Partnerships
Pre-Proposal Development
- Locates Funding Sources
- Conducts Virtual Proposal Writing Workshops
- Coordinates with ORA to set up dates
- Provides training to faculty on all aspects of proposal writing
- Coordinates the Office of Research grant competitions & Limited Submissions

Proposal Development
- Provides proposal writing assistance
- Manages the grant proposal development process for the University
- Manages special initiatives & fundraising activities
- Collaborates with faculty and staff to ensure successful grant proposals
- Manages corporate and foundation funds
- Provides training to faculty on all aspects of proposal writing
- Coordinates with ORA to set up dates
- Provides training to faculty on all aspects of proposal writing

http://orap.or.wsu.edu

ORSO
Office of Research Support & Operations
- Provides support to faculty, staff & graduate students in the area of research
- Provides training to faculty on all aspects of proposal writing
- Coordinates with ORA to set up dates
- Provides training to faculty on all aspects of proposal writing
- Manages corporate and foundation funds
- Provides training to faculty on all aspects of proposal writing
- Coordinates with ORA to set up dates
- Provides training to faculty on all aspects of proposal writing

http://orso.or.wsu.edu

ORA
Office of Research Assurance
- Provides support to faculty, staff & graduate students in the area of research
- Provides training to faculty on all aspects of proposal writing
- Coordinates with ORA to set up dates
- Provides training to faculty on all aspects of proposal writing
- Manages corporate and foundation funds
- Provides training to faculty on all aspects of proposal writing
- Coordinates with ORA to set up dates
- Provides training to faculty on all aspects of proposal writing

http://ora.or.wsu.edu

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

hrtraining@wsu.edu

This has been a WSU Training Videoconference