

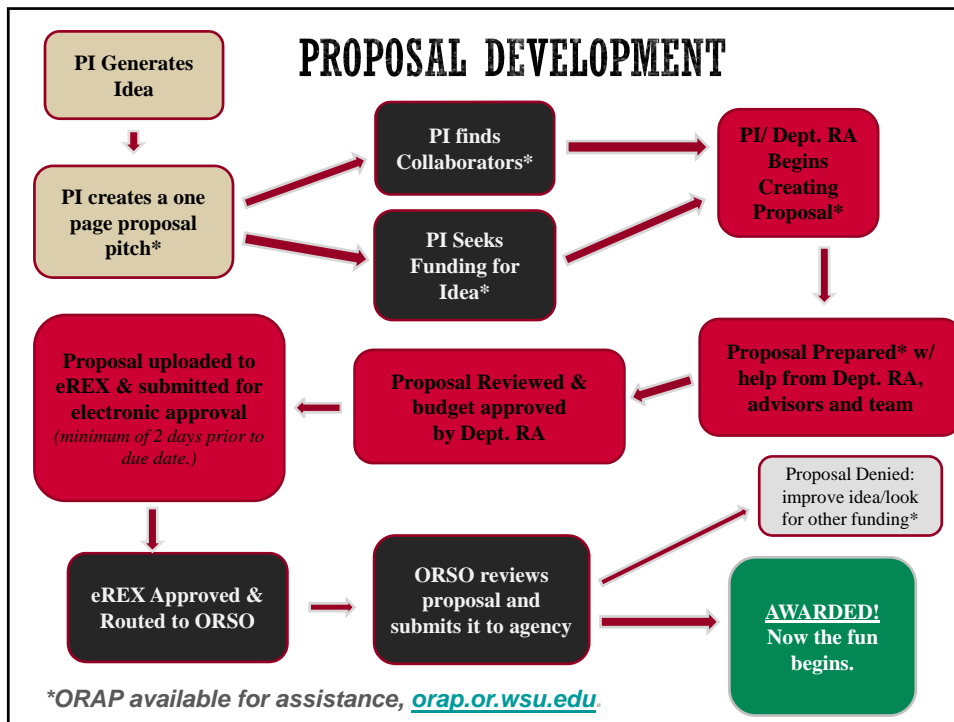
Proposal Submission, Review, and Acceptance

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**Recording date of this workshop is
February 9, 2018**
**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

- 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 the 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, Program 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.

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," "F&A" and "Cost Sharing" classes during the Research Administration Series (RAS).
- All proposal budgets must be approved before they are routed with the eREX by a:
 - Budget certified department administratorOR
 - 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>

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, Sub-awardee Documents.
- *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, ASSIST, 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.
- WSU policy is that each eREX be submitted and approved two working days prior to the sponsor's deadline. 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.

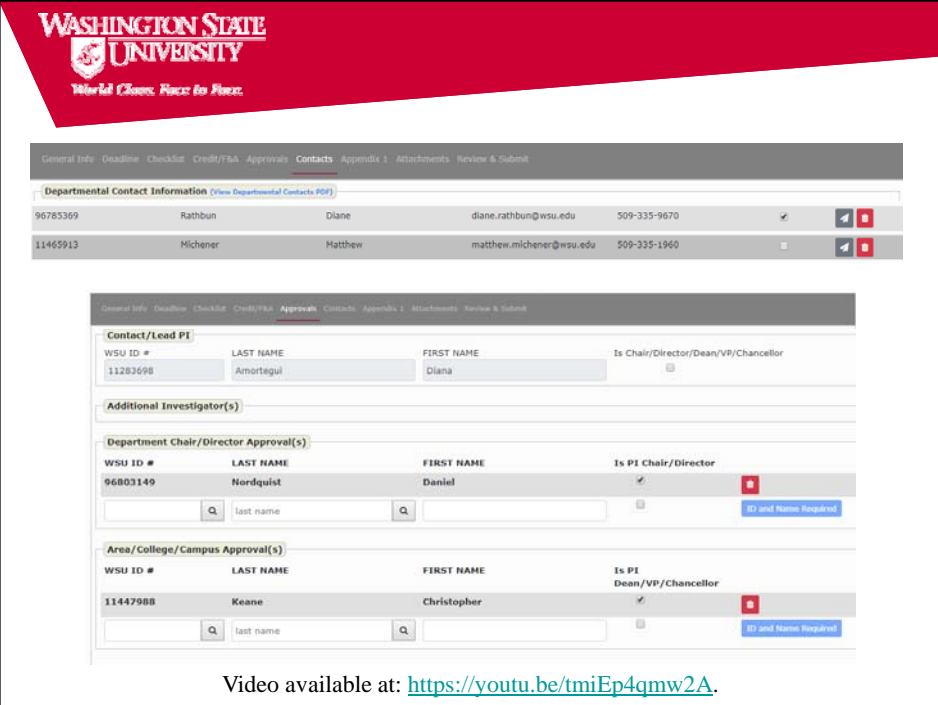


WASHINGTON STATE UNIVERSITY
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The eREX Form
(Electronic "Request for Approval of Application for Extramural Support" Form)

WASHINGTON STATE UNIVERSITY Office of Research
eREX Forms

Create New eREX



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General Info | Deadline | Checklist | Credit/FSA | Approvals | **Contacts** | Appendix 1 | Attachments | Review & Submit

Departmental Contact Information [\(View Departmental Contacts PDF\)](#)

WSU ID #	LAST NAME	FIRST NAME	EMAIL	PHONE	STATUS	ACTIONS
96785369	Rathbun	Diane	diane.rathbun@wsu.edu	509-335-9670	✓	⏪ ⏩ ⏴ ⏵
11465913	Michener	Matthew	matthew.michener@wsu.edu	509-335-1960	☐	⏪ ⏩ ⏴ ⏵

General Info | Deadline | Checklist | Credit/FSA | Approvals | **Contacts** | Appendix 1 | Attachments | Review & Submit

Contact/Lead PI

WSU ID #	LAST NAME	FIRST NAME	Is Chair/Director/Dean/VP/Chancellor
11283698	Amortegui	Diana	☐

Additional Investigator(s)

Department Chair/Director Approval(s)

WSU ID #	LAST NAME	FIRST NAME	Is PI Chair/Director
96803149	Nordquist	Daniel	✓
<input type="text"/>	<input type="text"/>	<input type="text"/>	☐

Area/College/Campus Approval(s)

WSU ID #	LAST NAME	FIRST NAME	Is PI Dean/VP/Chancellor
11447988	Keane	Christopher	✓
<input type="text"/>	<input type="text"/>	<input type="text"/>	☐

Video available at: <https://youtu.be/tmiEp4qmw2A>.

Checks before submitting the eREX

- Do the total dollar amounts and period of performance dates match on the eREX, proposal, budget justification, and sponsor & WSU budget?
- Ensure PI credit goes to PIs academic tenure department and the sum of all Co-PI credit is equal to 100%.

PROPOSAL DEADLINE: (None) 7/5/2018
 TRANSMISSION TYPE INFO: Proposal ID Number: XXXXXXXX
 TIME DUE (Pacific): 5:00 PM
 DEADLINE TYPE: At the Sponsor/Agency
 TRANSMISSION TYPE: Workspace

Would you like to take advantage of our "Narrative Hold" program for NIH ASSIST, NSF Fastlane, ezFedGrants (USDA), Workspace, or NSPIRES (NASA) submissions only? WARNING: If this selection is chosen it is the responsibility of the PI and/or their Department to upload the finalized narrative to the respective agency portal and notify orso@wsu.edu no later than 5 hours before the deadline OR by noon of the day it is due (whichever is earliest); OTHERWISE it may be submitted as is. Yes No

Special Instructions/Comments
 Please have Dan Nordquist sign other attachment #3 and return to PI and dept admin for uploading to work space for inclusion in the submission. Once final document have been completed the department will email ORSO to release narrative hold |

- Include specific submission instructions as detailed on the Deadline tab. Be sure to communicate instructions clearly in the "Special Comments" box, e.g. list of docs to be sent, docs to be signed by the ORSO AVP/Director. If submitting by email, include email address(es) in designated spot. Include Proposal ID Number as applicable.

Checks before submitting the eREX

- 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.
- Is the F&A correct? Attach supporting docs if requesting a non standard rate.
- 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.)
- Is the attached budget approved by a certified RA; including cost sharing (is it attached to the eREX?)
- Is the FINAL version of the proposal attached to the eREX? *Exception Narrative Hold allows the use of Draft documents when eREX is submitted and approved prior to the 2-day window.*
- Do all validations pass?

RUSH Proposal Policy

The deadline for completion of a submitted and fully approved eREX to the Office of Research Support and Operations (ORSO) will be two working days prior to the sponsor's deadline. (see BPPM 40.02)

- Faculty need to work with the grant administrator for their unit to determine further timelines for processing proposal submissions before routing to ORSO.
- A waiver process will be initiated when proposals *via the eREX* are not submitted and approved to ORSO by the two working days requirement – if approvals are not completed outside the 2 day window, they will automatically begin again for all designated affiliates.
- Waivers will be granted for a variety of reasons, provided they are justified. Waivers for any other reason will require a Principal Investigator (PI) waiver justification that includes a reasonable rationale and subsequent written endorsements from the appropriate chair or director; area dean, chancellor or vice-president; and the ORSO associate vice president.
- It is the responsibility of the department/college to monitor all waiver eREX's approvals and work with the ORSO AVP as needed for exceptions when approvals will not be completed before the sponsor deadline.

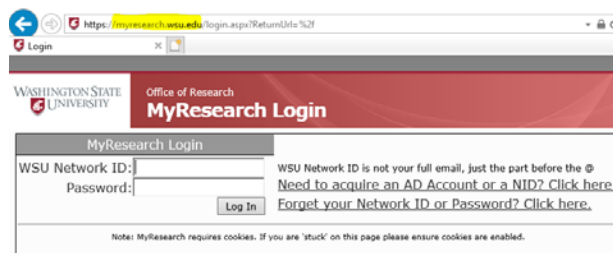
Narrative Hold Policy

The Narrative Hold Program will **only** be applicable for eREX Forms that are completed and approved two days prior to the sponsor deadline. Any RUSH submission (eREX Forms submitted within 2 days of the deadline) will be not be able to use this Narrative Hold In Summary:

- Only the research/technical narrative and directly related documents as noted above can be in DRAFT FORMAT – all other components of the proposal (including budget) must be in final form when the eREX Form is submitted.
- The final research/technical narrative must be provided no later than five business hours before the deadline OR by Noon on the day the proposal is due – whichever is earliest.
- The PI is required to notify ORSO via email (orso@wsu.edu) providing in that email a copy of the final narrative documents to let us know that the research narrative information is complete and the proposal is ready for submission.
- If the eREX is not fully approved 2 business days before the deadline it will no longer be eligible to use the Narrative Hold Program – the eREX will be returned and will need to be resubmitted once the proposal is in its final form and ready for submission.

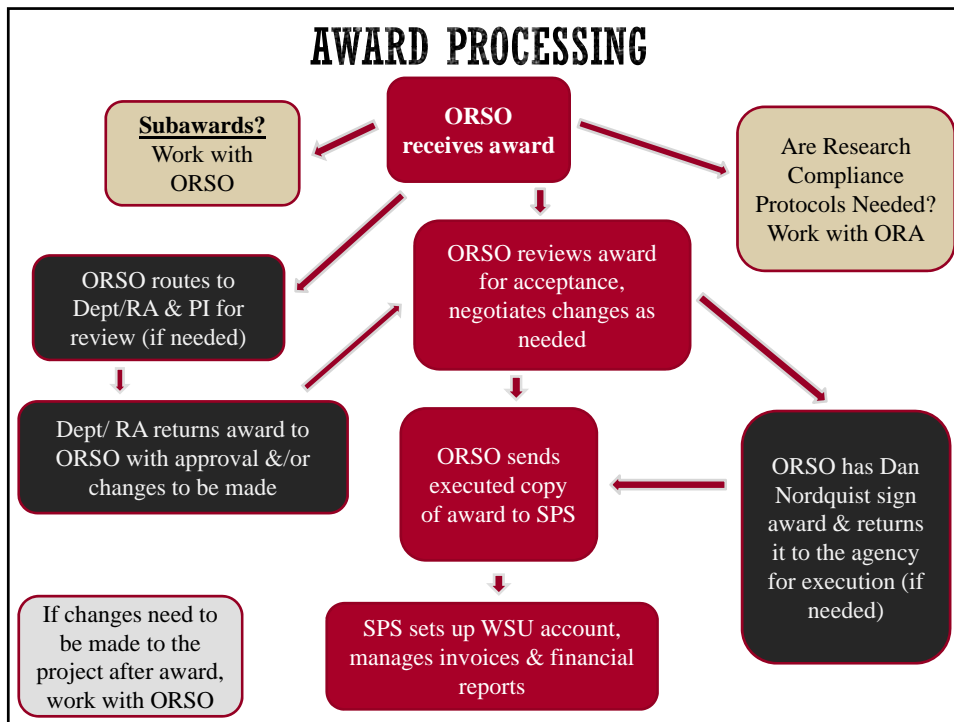
ORSO and MyResearch

- Upon eREX approval, proposal is logged into MyResearch, given 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 when fully approved prior to the 2-day window.
- PI's, Research Administrators, and other departmental figures have access depending on their role at WSU.
- MyResearch provides the WSU Research Community with tools for:
 - Tracking sponsored activity; 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 interpret the comments, and 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.



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 the 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 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
 - <http://pivot.cos.com>
- Conducts Proposal Writing Classes
- Provides training to faculty on all proposal components.
- Coordinates the Office of Research grant competitions & Limited Submissions

Proposal Development

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

<http://orap.or.wsu.edu>

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
- Advises 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

<http://orso.or.wsu.edu>

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

<http://www.ora.wsu.edu>

RFP Example: USDA SCRI

Group Activity



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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