

# Proposal Submission, Review and Acceptance

# OGRD is now OROS

## Office of Research Operations and Support



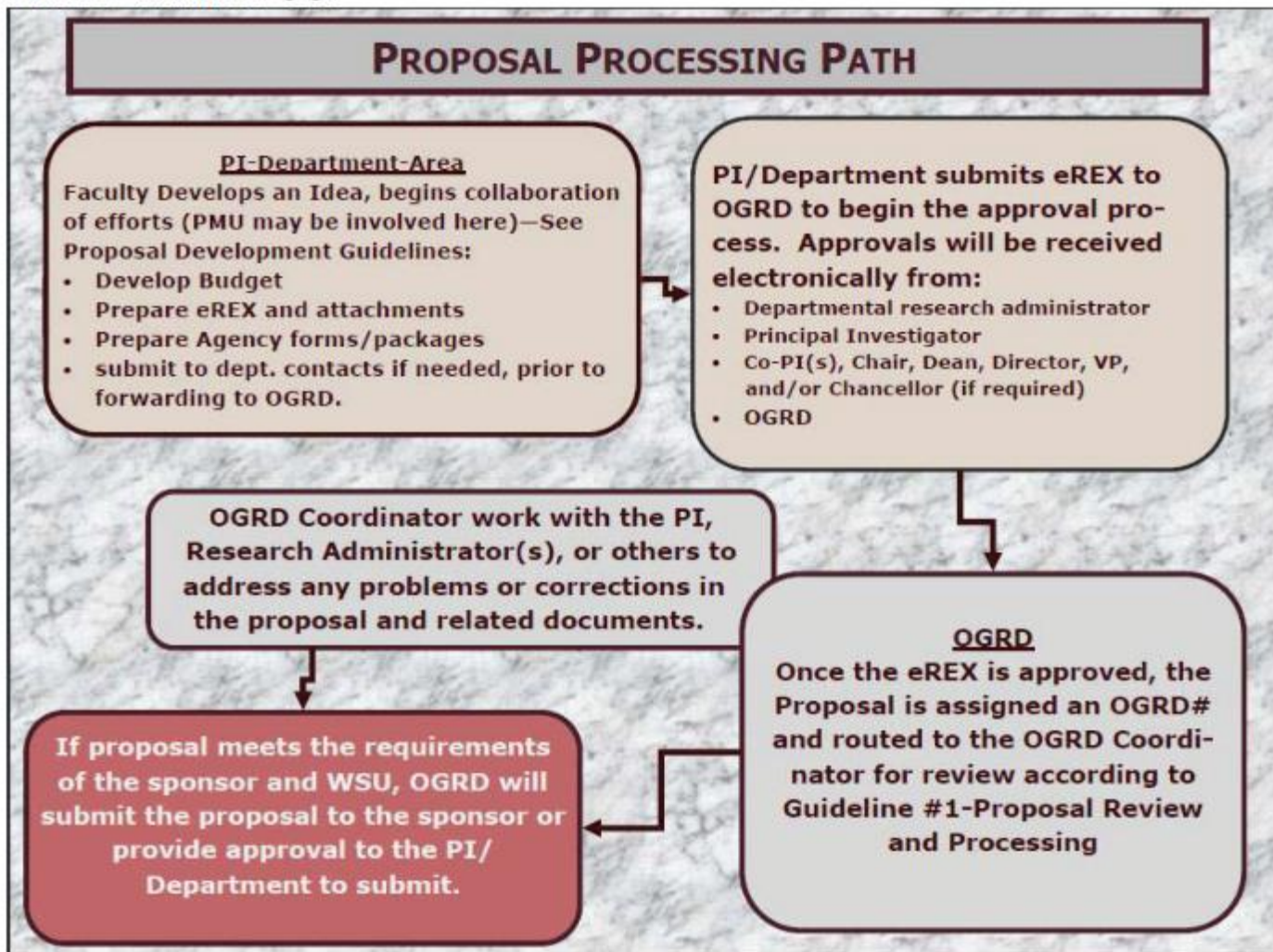
**Recording date of this workshop is  
October 23, 2015**

**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.**

**REVIEW OF PROPOSALS** – After a proposal has been compiled by the Principal Investigator and/or other departmental individuals, it should be submitted to OGRD for review according to the guidelines below.

Below is a flow chart showing the course a proposal will take through the specific offices within WSU.



# 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 help of department, proposal package developed based on instructions provided.
- Proposal and attachments are uploaded to eREX and routed through OROS to obtain required signatures.
- OROS reviews proposal package and submits to Sponsor
- If proposal is funded, OROS begins award negotiation and acceptance

# 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 agencies 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

## National Science Foundation Grant Proposal Guide

- a) Proposals that do not contain the Project Summary, including an overview and separate statements on intellectual merit and broader impacts will not be accepted by Fast Lane or will be returned without review.*
  
- b) Allowance for air travel normally will not exceed the cost of round-trip, economy airfares. Persons traveling under NSF grants must travel by US-Flag Air carriers, if available.*

# Three Tips for a More Successful Proposal

## 2. PI should collaborate with staff to prepare 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.
- 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.*



# Budgeting Assistance

- OROS Guideline #2 (Budgeting Assistance Information for Preparing Sponsored Program Proposals)
  - OROS Training Course 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
- OROS – two weeks prior to deadline for approval
  - Guidelines and templates at <http://www.ogrd.wsu.edu>

***Guidelines and budget template can be found at <http://www.ogrd.wsu.edu>***

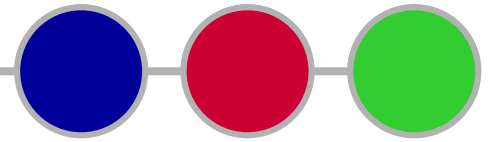
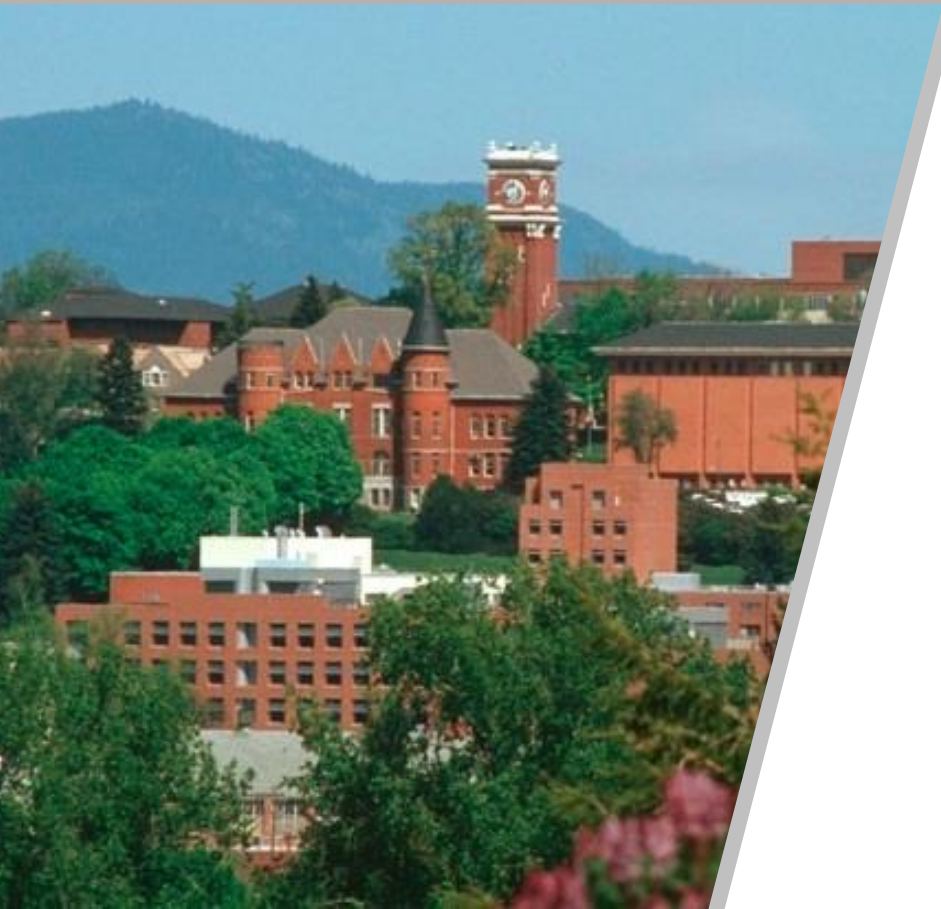
# Three Tips for a More Successful Proposal

## 3. Be mindful of submission deadline

- 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
- OROS requests proposals to be submitted via eREX minimum 2-3 days in advance of the due date
- Last minute submissions are often not reviewed which increases the chance of a failed submission to Sponsor.

## What OROS 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 OROS 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 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

## **OROS MISSION STATEMENT**

WSU's Office of Research Operations and Support (formerly Grant and Research Development, OGRD) was established in 1972. Its mission is to assist the University's faculty and graduate students in securing extramural support for their scholarly, research, teaching, and community service activities.

# OROS Services – Tools to Locate Funding

- **Research Advancement and Partnerships**
- Identification of funding sources and dissemination of funding information-The WSU *Informer* <http://informer.ogrd.wsu.edu>
- *Pivot* funding database search, consultation & training.  
<http://pivot.cos.com>
- Identification of expertise and potential collaborators-*WSU Scholars*  
<http://www.ogrd.wsu.edu/scival.asp>
- Coordinate WSU funded grant competitions

***Find out more at <http://informer.ogrd.wsu.edu>***

## Other Resources to Locate Funding

- Grants.gov <http://www.grants.gov/web/grants/search-grants.html>
- CFDA <https://www.cfda.gov/>
- FedBizOpps.gov <https://www.fbo.gov/>
- FederalRegister.gov <https://www.federalregister.gov/money>
- NSF <http://www.nsf.gov/funding/>
- NIH <http://grants.nih.gov/grants/oer.htm>
- NASA <http://www.nasa.gov/audience/forresearchers/researchbizops/index.html>
- DOE <http://energy.gov/public-services/funding-opportunities>
- DED <http://www.ed.gov/fund/grants-apply.html>
- DOD <http://www.defense.gov/faq/pis/21.html>
- CDMRP <http://cdmrp.army.mil/funding/prgdefault.shtml>
- The Foundation Directory <http://fconline.foundationcenter.org/>

# **Research Advancement and Partnerships- Enhance WSU's Research Enterprise by Enabling Faculty to Write Better and More proposals**

Funding search and announcements  
Proposal-Writing Training Activities  
Limited Submission Proposals and review  
Proposal Development  
Research Expansion Activities

***Find out more by contacting [res.dev@wsu.edu](mailto:res.dev@wsu.edu)***



# OROS Services- Proposal Management

- Review & authorize proposals on behalf of WSU
- Negotiate & accept grants, contracts and other agreements
- Prepare & execute standard agreements, subcontracts & other agreements related to extramural funding
- Certify and assure adherence to WSU and government policies and regulations
- Monitor & report certain sponsored project activity
- Advise faculty, staff & graduate students on any of these functions & activities

***Find out more at <http://www.ogrd.wsu.edu>***

# Office of Research Assurances

- Human Subjects
- Animal Care
- Hazardous Materials Shipping
- Biosafety
- Conflict of Interest
- Export Controls
- Pesticide Policies

***Find out more at [www.ora.wsu.edu/](http://www.ora.wsu.edu/)***

## Useful FastLane Resources

- **FastLane FAQs**

[https://www.fastlane.nsf.gov/NSFHelp/flashhelp/fastlane/FastLane\\_Help/fastlane\\_help.htm#fastlane\\_faqs\\_introduction.htm](https://www.fastlane.nsf.gov/NSFHelp/flashhelp/fastlane/FastLane_Help/fastlane_help.htm#fastlane_faqs_introduction.htm)

- **FastLane PAPPG FAQs**

[http://www.nsf.gov/bfa/dias/policy/papp/papp13\\_1/pappgfastlane\\_faqs.jsp](http://www.nsf.gov/bfa/dias/policy/papp/papp13_1/pappgfastlane_faqs.jsp)

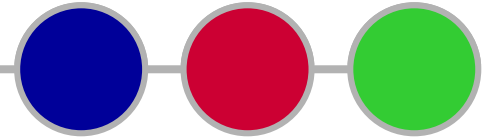
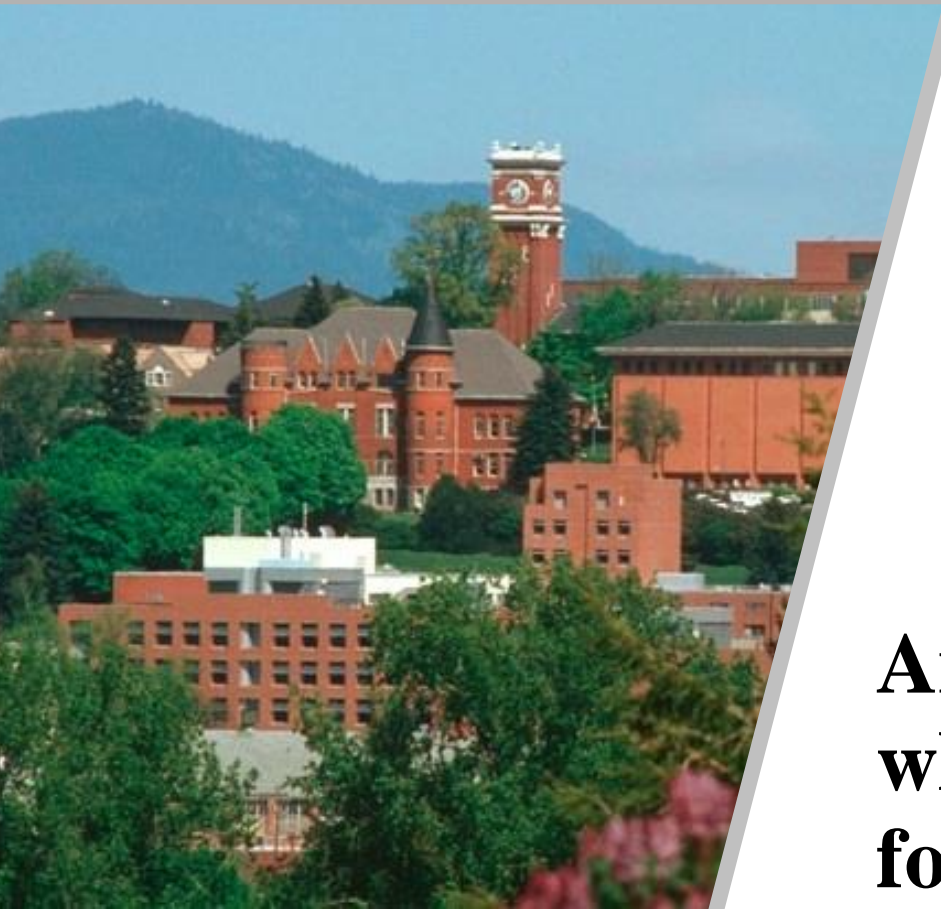
- **FastLane Advisories** <https://www.fastlane.nsf.gov/index.jsp>

## Useful NIH Resources

- **NIH User Guides and related links** <http://era.nih.gov/applicants/index.cfm>
- **NIH ERA Training Commons, IAR, xTRAIN, ASSIST**  
[http://era.nih.gov/era\\_training/index.cfm](http://era.nih.gov/era_training/index.cfm)
- **NIH SF424 Guides** <http://grants.nih.gov/grants/funding/424/>

## Useful Grants.gov Resources

- **Grants.gov FAQs** <http://www.grants.gov/web/grants/applicants/applicant-faqs.html>
- **Grants.gov Search** <http://www.grants.gov/web/grants/search-grants.html>
- **Grants.gov User Guides, Training, Support**  
<http://www.grants.gov/web/grants/applicants/applicant-resources.html>



# **The EREX Form**

**(Electronic “Request for External Support” Form)**

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



**Approval(s) and Certification(s)**

Internal Approvals: Approval signifies that the proposed project fits within the academic framework and resources of the unit, requirements for new or renovated facilities/space have been discussed with the appropriate people, any special project requirements that are outside normal WSU oversight have been considered, WSU obligations will be met by the department/area/college/campus unless otherwise noted, Conflict of Interest and Excess Compensation requirements have been addressed, and the Office of Grant and Research Development may review and process the proposal.

Lead PI Certification: I hereby certify that:

- My current and active research commitments do not exceed 100% of my appointment. Should my appointment obligations change due to new or increased award commitments, I will notify OGRD to ensure that my total commitments do not exceed 100% of my appointment.
- If the proposal submitted herewith is funded and accepted by the University, I will conduct the project in accordance with the terms and conditions of the sponsoring agency, WSU policies and procedures, and all laws, regulations, rules, and orders.
- I will be fully responsible for meeting the requirements of the award, including evaluating and managing the requirements of my laboratory and/or facilities, ensuring the proper training of project employees as outlined in [OGRD RCR Guideline 8](#), providing proper management of funds, submitting all required technical reports and deliverables on a timely basis, and properly disclosing all inventions to the University's Office of Intellectual Property Administration, in accordance with Federal or contractual terms and University policy.

**Contact Principal Investigator/Lead PI** (Information copied from page 1)

<b>Contact Principal Investigator/Lead Investigator's Assurance:</b> "By signing below, I certify that: 1) I have read the approval and certification statements, and further certify that the statements contained herein and below are truthful, complete, and accurate to the best of my knowledge and belief, and 2) I understand that I may be subject to criminal, civil, or administrative penalties for any false, fictitious, or fraudulent statements or claims."					
WSU ID #:	Last Name:	First Name:	Signature:	Date:	Role:
_____	_____	_____	X	_____	<b>Contact PI/Lead PI</b>

**Additional Investigator(s)**

<b>Lead Investigator's/Co-Investigator's Assurance:</b> "By signing below, I certify that: 1) I have read the approval and certification statements, and further certify that the statements contained herein and below are truthful, complete, and accurate to the best of my knowledge and belief, and 2) I understand that I may be subject to criminal, civil, or administrative penalties for any false, fictitious, or fraudulent statements or claims."					
WSU ID #:	Last Name:	First Name:	Signature:	Date:	Role:
Add Investigator					

**Department Chair/Director Approval(s)**

WSU ID #:	Last Name:	First Name:	Signature:	Date:	
Add Chair or Director					

**Area/College/Campus Approval(s)**

WSU ID #:	Last Name:	First Name:	Signature:	Date:	
Add Area/College/Campus					



*Special Instructions/Comments*

*Departmental Contact Information*

<input checked="" type="checkbox"/>	WSU ID #:	LAST NAME:	FIRST NAME:	EMAIL:	TELEPHONE #
<input checked="" type="checkbox"/>	WSU ID #:	LAST NAME:	FIRST NAME:	EMAIL:	TELEPHONE #
<input checked="" type="checkbox"/>	WSU ID #:	LAST NAME:	FIRST NAME:	EMAIL:	TELEPHONE #
<input checked="" type="checkbox"/>	WSU ID #:	LAST NAME:	FIRST NAME:	EMAIL:	TELEPHONE #

Add Departmental Contact

*In the course of submitting this proposal, questions may arise that require OGRD's staff to contact people regarding this eREX and/or the attached proposal. Please fill in the best person to contact in each case (alternate contacts optional).*

Primary eREX Contact:	LAST NAME:	FIRST NAME:	EMAIL:	TELEPHONE #
Alternate eREX Contact:	LAST NAME:	FIRST NAME:	EMAIL:	TELEPHONE #
Primary Proposal Contact:	LAST NAME:	FIRST NAME:	EMAIL:	TELEPHONE #
Alternate Proposal Contact:	LAST NAME:	FIRST NAME:	EMAIL:	TELEPHONE #

Multiple PIs/Areas should list corresponding RAs, Chairs, Deans etc.

Foundation 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.

**Appendix 1 - Cost Sharing/Matching**

Cost Sharing/Matching (Complete all that apply):

President/Provost Amount:	Office of Research Amount:	Area/College/Campus Amount:	Department Amount:	Other Amount:	Total Amount:
					<b>\$0</b>

Other Amount – subs/3<sup>rd</sup> party; get authorizing letter.

Cost Sharing or Matching refers to the portion of the project or program costs that are not borne by the Sponsor. If Cost Sharing obligations are not required within the RFP/Announcement, they should not be listed and should not have a dollar value assigned in the narrative nor should there be any mention of a donated commitment of effort within the technical portion of the proposal.

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

Cost sharing that is not required by the agency but is listed in the eREX, budget, proposal project description, and/or in any other documents within the file is considered voluntary committed cost share. Voluntary committed cost share is tracked and audited. The Cost Share question on the first page of this eREX should be answered "yes" if there is voluntary committed cost share included in the file. Voluntary committed cost share is NOT recommended; therefore it must be appropriately listed in the eREX so that departmental heads may agree to the commitment through their approval of the eREX. Please make a note in the comments section of this eREX if you have included un-recovered F&A in the department cost share amount and the amount of the un-recovered F&A.

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

Cost Share commitments from the Office of Research and/or the President/Provost require a separately attached approval document from the Vice President for Research and/or the appropriate President/Provost representative or their appropriate representative. Commitments of un-recovered F&A should be included in the department amount and do not require a separate approval.

If Cost Sharing is committed in the proposal, scope of work, or on any attached documents within the file or elsewhere, an obligation will be set up at the time the award is set up.

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

If you are asked to include Other Support not to be considered as committed cost share by WSU, please include the following statement within the body of your proposal or budget narrative:

**"WSU is including in this proposal the following information on other resources available which are in support of similar research/activities undertaken by the Principal Investigator (PI). These resources are listed to identify other support for this research/activity and are not included as a commitment of cost share by WSU."**

For further guidance on University Policies and Guidelines on Cost Share or Match refer to the information below:

- \* The Office of Grant and Research Development website Policies and Guidelines, Guideline #2  
["http://www.ogrd.wsu.edu/guidelines.asp"](http://www.ogrd.wsu.edu/guidelines.asp)
- \* The Office of Grant and Research Development website, Memorandum #2  
["http://www.ogrd.wsu.edu/policies.asp"](http://www.ogrd.wsu.edu/policies.asp)
- \* The Office of Research Equipment Matching Policy  
["http://researchvp.wsu.edu/Equipment.aspx"](http://researchvp.wsu.edu/Equipment.aspx)

Below are examples of Cost Sharing when applicable:

1. Un-Recovered F&A - the difference between the Institution's F&A rate and the Agency's allowable rate. List this in the department amount being sure to make the notes indicated above.
2. Faculty Effort - towards the proposed project, not budgeted in the proposal. (i.e., salary, benefits, and F&A), (faculty, staff, student)
3. Staff and Student Effort - Salary, benefits and F&A.
4. Wages - contributed towards the project (wages, benefits and F&A).
5. Equipment - purchased during the project period.
6. Goods, Services, Travel - purchased toward the project (including F&A).
7. Third-Party Non-Federal Funds - Third Party Sponsor approval may be required.
8. Volunteer Services - similar to the labor market rate.
9. Scholarships/Tuition Waivers - College Dean and Graduate School Approval, donated equipment, land and buildings (not often used).



Explanation 18: Will you be shipping or electronically transmitting any article, material or supply, technical data out of the United States or collaborating with any foreign persons or entities?:

Explanation 19: Chemicals of Interest:

Export Control – Stanford has an excellent export control questionnaire to help you determine if your proposal could be subject:

<http://export.stanford.edu/tree/>

[http://www.ogrd.wsu.edu/ec\\_faq.asp](http://www.ogrd.wsu.edu/ec_faq.asp) for additional information.

Attach all supplemental files required to complete this application.

Attachment 1: Proposal:

\_\_\_\_\_

Attachment 1 – The proposal in its final submission form to be sent to the agency

Attachment 2: WSU Approved Budget and any Necessary F&A Documentation:

\_\_\_\_\_

Attachment 2 – WSU's *INTERNAL* budget; not typical to send this to the sponsor

In your proposal budget, are you directly charging for costs that are typically treated as F&A, i.e. clerical and admin. support, telephone line charges, office supplies, etc.?

Yes  No

"Yes": If a federally funded project, please complete and attach the "Certification of a Major Project" document listed in [OGRD Guideline 2](#) as an Other Attachment.

Attachment 3 – All internal approvals for WSU committed resources for cost/share and match

Attachment 3: Cost Sharing/ Matching Documentation (approvals/commitments):

\_\_\_\_\_

Attachment 4 – Request for Shipment for shipping and account to charge for sending hard copies

Attachment 4: Request for Shipment of Merchandise:

\_\_\_\_\_

Attachment 5 – Other Internal Approvals as required

Attachment 5: Other Internal Approval(s):

\_\_\_\_\_

Attachment 6 - *RFP/PA/BAA/RFQ file*

Attachment 6: RFP/PA/BAA/RFQ Document:

\_\_\_\_\_

Attachments 7- FCOI form

Attachment 7: Subrecipient FCOI Form ([http://www.ogrd.wsu.edu/documents/FCOI\\_Subrecipient.pdf](http://www.ogrd.wsu.edu/documents/FCOI_Subrecipient.pdf)):

\_\_\_\_\_

Attachment 8 Other documents as required, such as sub award documents, Certified/official 3<sup>rd</sup> party cost share, the Stanford.edu Decision Tree for Export Controls, PI authorization to allow approval on his/her behalf.

Attachment 8: Other Attachment:

\_\_\_\_\_

ABSTRACT OF PROPOSED WORK (for answering inquiries, for announcing grant and contract awards, and for possible inclusion in compilations of information on research and sponsored programs) - The summary should express the purpose and the essential elements of the proposed activity, but should be written in terms that can be understood by the non-specialist. Formatting is not essential here. If an abstract is unavailable, please provide the project title at a minimum.

\_\_\_\_\_

Hint: If you want any attachment other than **Attachment 1: Proposal** to be sent, please confirm in the comments section which Attachments you want sent.

Abstract – searchable in the database and used to match new RFPs with potential PI's.

## Checks before submitting the eREX

- Budget(s) approved are certified; this includes cost sharing
- PI credit goes to the PIs academic tenure department
- OROS 2 day review (this clock starts AFTER all approvals are in place, not when you initially submit the REX to OROS)
- 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?

# OROS's Internal Processes and Communication

- MyResearch (a.k.a Gateway, OROS database) and what it provides for the WSU Research Community
  - Tracking System
  - Dissemination and Communication
  - Reporting

# MyResearch

- Your proposal will be logged into MyResearch and given an OROS 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 OROS 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.



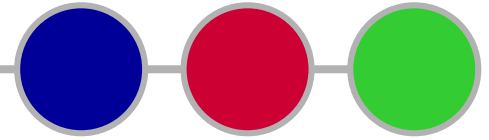
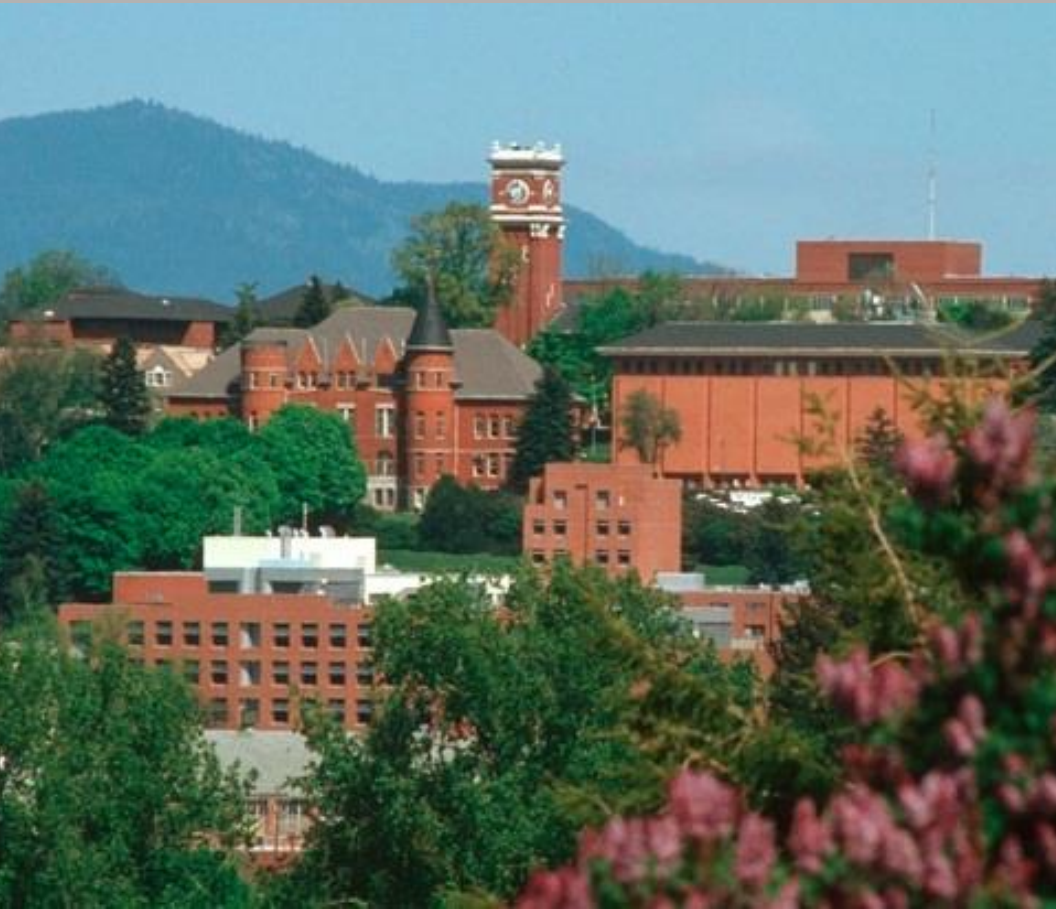
# Using MyResearch

- Logging onto MyResearch
- Function Tabs
  - Distribution
  - Gateway DB
  - Award Reports
  - Proposal Reports
- Searching

<https://gateway.ogrd.wsu.edu/logon.asp>

## **If Denied... RESUBMIT!!!**

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



**Awarded!!!**

## If Awarded...

- If you received the award directly, make sure OROS has a copy
- Check the OROS 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://www.ogrd.wsu.edu/forms.asp>

# OROS 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](mailto:hrstraining@wsu.edu)**