Proposal Preparation & Development
Best Practices

OSR & SeRA Seminar Series

Megan Dietrich, Client Advocacy & Education Specialist
Nicole Pobuta, Senior Contract and Grant Officer
Sarah Makarchuk, Contract and Grant Associate
Proposal Process

- Solicitation
- Develop
- Review
- Submit
Roles & Responsibilities

## School/Department

### Proposal Intake
- Assist faculty in identifying funding sources, as applicable.
- Obtain and review sponsor program guidelines and advise principal investigator(s) (PI(s)) regarding proposal requirements, including University internal deadlines.
- Advise PI(s) of applicable University policy and compliance matters (conflict of interest (COI), PI waivers, indirect cost (IDC) waivers, cost sharing etc). Liaison with school dean’s office as necessary.
- For proposals with subawards, coordinate with counterpart(s) at sub institution(s) to obtain all required subrecipient proposal components and completed and signed OSR Form 33(s).
- Provide OSR with advance notice on pending proposals with unusual requirements, or deadlines with anticipated high volume, as applicable and time permitting.

### Proposal Development
- Develop budgets and budget justifications per PI specifications. Ensure accuracy and compliance with sponsor, solicitation, and University policy.
- For proposals with committed cost sharing, verify cost sharing commitment(s) and approval(s) have been secured.
- Facilitate with PI(s) to complete required administrative components of proposals in compliance with sponsor and solicitation requirements.
- Review proposal for adherence to sponsor & solicitation guidelines and compliance with University policy.

**Stanford Electronic Research Administration (SeRA) Proposal Development Routing Form (PDRF)**
- Initiate SeRA PDRF and route to PI(s) for approval. Ensure it is completed accurately.
- Attach proposal solicitation guidelines, approved waivers and certifications, as applicable, and all other required and relevant proposal components.
- For proposals with subawards, attach all required subrecipient proposal components and completed OSR Form 33(s).
- Attach complete and final proposal, or, as appropriate*, release final proposal in relative platform/portal.
- Ensure/facilitate PI approval to advance PDRF & proposal to OSR for review, endorsement, and submission.

*For proposals submitted in sponsor portals i.e. Fastlane or Research.gov for NSF, NSPIRES for NASA, Heart.org for AHA etc. enter required application information and upload proposal components. Release proposal record for OSR review and submission along with SeRA PDRF routing.
*For federal proposals submitted via Cayuse 424, complete relative Cayuse application including uploading proposal attachments within Cayuse. Indicate Cayuse as submission method on PDRF.

### Submission
- As applicable, facilitate with submission to sponsor once OSR endorses proposal.

## OSR

### Proposal Development
- Facilitate school/department with interpretation of sponsor guidelines when requested

### Proposal Review
- Review final proposal package and SeRA PDRF to ensure:
  - Sponsor is properly identified
  - Application is in compliance with University and sponsor guidelines and requirements
  - Application is complete with all proposal components
  - Waivers and approvals are included
  - Compliance panel submissions are identified
  - IDC and Benefit Rates are correctly computed
  - Consistency between proposal, PDRF and SeRA
  - Prime sponsor, if any, is properly identified
  - Cost sharing is properly identified and documented

### Institutional Endorsement
- Complete and sign Representations & Certifications for incorporation into proposal package, as required
- Prepare and sign University transmittal letter, as required
- Approve and sign proposals on behalf of University
- Submit proposal as requested or as required: e.g. U.S. Mail, FedEx, e-mail attachment or electronic submissions

**SeRA**
- Maintain official University record of proposal record and transaction in SeRA

### Post Submission
- Resolve any submission issues that occur during electronic submissions. Coordinate with School/Dept/PI to secure the required revised information required to complete submissions.

*For the School of Medicine/Research Management Group please refer to the below link for roles and responsibilities: [http://med.stanford.edu/rmg/roles/](http://med.stanford.edu/rmg/roles/)
Considerations

- **Proactively ask PI(s)**
  - Including an “Any proposal plans?” inquiry as part of your monthly account/portfolio status update communication to your PI(s) is a great and regular opportunity!

- **Read the Solicitation**
- **Start Early**
- **Build a Timeline**
- **Initiate Early a SeRA PIF (SoM) or PDRF (all other schools)**
  - For proposals submitted through the School of Medicine’s Research Management Group your RPM will initiate the PDRF after receiving the dept. or faculty initiated PIF
- **Leverage PDRF questions and routing to gather info**
- **University Policy**
- **Sponsor Requirements**
Solicitation Nomenclature

PA – Program Announcement
FA – Funding Announcement
FOA – Funding Opportunity Announcement
BAA – Broad Agency Announcement
RFP – Request for Proposal
RFO – Request for Opportunity
The Call
The Opportunity

= The Solicitation
Solicitation Review

Key elements to look for when reading the solicitation…

- It is Current
- Due Date & Time (including relevant time zone)
- Eligibility
- Submission Method
- Indirect Cost Restrictions
- Funding Requirements & Restrictions
- Mandatory Cost Sharing

- Award Amount (min/max)
- Award Duration
- Required Documents
- Document Formatting
- Effort Requirements
Solicitation Review

What goes into a proposal?

At Least
- Statement of Work
- Budget
- Budget Justification
- Institutional (OSR or RMG) Endorsement

Most will also require
- Abstract/Project Summary
- Biosketches/CVs
- Bibliography/References Cited
- Facilities Information
- Human subject and/or vertebrate animal information, as applicable
Solicitation Review

What goes into a proposal?

Some may also require
- Current and Pending Support/Other Support
- Data Management Plan
- Mentoring Plan
- List of suggested reviewers and/or those reviewers who should be excluded
- Milestone Timelines
- Project Narrative (NIH)

- Letters of Support and/or Commitment
- Line item details for travel, equipment and/or supplies and supporting vendor quotes
- Salary substantiation
- Small Business subcontracting plan*
- EH&S questionnaires*
- EEO & Diversity questionnaires*
- Sponsor Certifications*
- And the list goes on…

*Require coordination with other campus units/offices
Timeline Building

Institutional Review - Stanford Internal Proposal Deadline Policy

5 full business days in advance of the sponsor’s due date:
A complete proposal must be submitted to your institutional official and released in the relevant sponsor portal as applicable. All administrative portions of the proposal must be complete and final. This means:

- The complete proposal application*
- Internal budget and budget justification
- Relevant approved waivers
- Subaward documentation (e.g. Subrecipient Commitment Form (OSR Form 33), Scope of Work and Budget)

*The technical scope of work can be a draft, but must be finalized at least 3 full Business days in advance of the sponsor’s due date.

3 full business days in advance of the sponsor’s due date:
The complete and final technical proposal must be ready to submit to the sponsor and received by your institutional official including being released in the relevant sponsor portal (e.g. Fastlane, NSPIRES, Research.gov etc.). Items reviewed at the 5 day deadline will not be re-reviewed.

NOTE: Complete and final proposals received less than 3 full business days in advance of the sponsor’s due date will be reviewed only on a "First In, First Out" basis subject to proposals already received and other existing commitments. No proposals will be allowed to cut in line. Efforts will be made to submit the proposal, but there is no guarantee that the proposal will be submitted in time to meet the agency’s deadline.

ALERT: Proposals received with less than 2 full business days in advance of the sponsor’s due date will not be submitted.

It is recommended that you contact the sponsor to request an extension to the sponsor’s deadline. Alternatively you may consider delaying the submission until the next proposal deadline.
Timeline Building

Institutional Review - Stanford Internal Proposal Deadline Policy

To be considered on time administratively complete proposals are due to OSR at least 5 full business days in advance of sponsor deadlines. Technical application components may be in draft form at this time.

*For on time submissions, final technical components must be submitted to OSR at least 3 full business days ahead of the sponsor deadline.

Complete and final proposals received fewer than 5 full business days, but more than 2 full business days in advance of the sponsor's due date will be considered late and will be reviewed only on a “First In, First Out” basis subject to proposals already received and other existing commitments. No proposals will be allowed to cut in line.

Proposals received with equal to or less than 2 full business days in advance of the sponsor's due date Will Not Be Submitted.

Stanford University
Timeline Building

Institutional Review - Stanford Internal Proposal Deadline Policy

March 2016

<table>
<thead>
<tr>
<th>Sunday</th>
<th>Monday</th>
<th>Tuesday</th>
<th>Wednesday</th>
<th>Thursday</th>
<th>Friday</th>
<th>Saturday</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Timeline Building

Suggested Process

1. Identify Sponsor* Due Date
2. Calculate Internal Deadline(s)
3. Utilize Today’s Date as Starting Point
4. Fill in the time between today’s starting point and the internal deadline with a logical and reasonable [as possible] process flow that identifies both when items should be completed as well as by whom.

*When Stanford is the sub the sponsor due date is the date Stanford’s sub proposal is due to the pass through institution NOT the due date to the prime sponsor.
Time Savers

- Templates and Sample Documents
  - Starter Budget Justifications
  - Data Management Plans
  - Post doc Mentoring Plans

- Leverage Existing Documents
  - Biosketches/CVs
  - Facilities

- Leverage SeRA
  - Current & Pending and Other Support Reports
  - Examples of successful submissions to the same solicitation
Showstoppers!
Citizenship Restrictions
Publication Restrictions
F&A/IDC Rate Limitations*

*IDC Rate Limitations in Solicitations Require Institutional Approval Prior to Proposal Submission
Stanford Pre-Approved IDC Exception List
Submission Method

Systems and Portals – Which one?
- Cayuse 424 – Federal Grants.gov submissions
- Fastlane – NSF
- Research.gov – NSF
- NSPIRES – NASA
- ASSIST – NIH (can also use Cayuse 424 for NIH)
- Heart.org – AHA
- ProposalCentral – Many non-federal agencies
- Other - If the system or portal seems obscure contact your institutional official for guidance

Systems and Portals – Ensure access/registration is setup for…
- Stanford University
- Your Institutional Official i.e. OSR CGO or RMG RPM
- Your PI(s)
- You - when the system or portal allows an admin role

Email Submissions – Provide…
- Name
- Email address
- Any additional available contact information
**Principal Investigator (PI)**

**PI Eligibility** - Is the proposed PI a member of the academic council or is a med center line faculty?
- If no, a project specific PI waiver may be needed – **this takes time!**

Does the PI have a valid SUNet ID that populates on a SeRA PDRF?
- If no, has the PI officially started at Stanford?
  - If no, work with dept. to sponsor a SU Net ID
  - If yes, submit a SeRA Help Ticket
Sponsor

Sponsor not listed in SeRA?

- Email osr_intake@stanford.edu and provide sponsor name, website, and any additional available contact information to add sponsor to SeRA. Please, no placeholder sponsors.

Restricted Foundation Sponsors

- Require coordination with the Office of University Foundation Relations
Sponsor Information on PDRF

If the sponsor is new, email osr_intake@stanford.edu to add the sponsor into SeRA.

If the submission method or portal seems obscure contact your institutional official for help.

Provide the appropriate contact information for the proper addressing on the institutional endorsement letter accompanying the proposal.
Facilitates & Administrative (F&A)/Indirect Cost (IDC) Rates

- Does the sponsor and/or solicitation specify an IDC rate less than SU’s current federally negotiated rate?
  - If yes, is the sponsor on the pre-approved IDC exception list?
    - If no, a project specific IDC waiver request needs to submitted and approved prior to proposal submission

Project Specific IDC Waiver Requests

- For non-SoM - Are prepared and submitted for DoR approval from within a SeRA PDRF
- For SoM – Work with your RMG RPM
Proposals Including Subawards

Required Forms & Documents At Time of Proposal - A proposal will not be considered complete until ALL sub documents have been received.

- Completed OSR Form 33 Subrecipient commitment form
- Completed OSR Form 45 (if sub will be under a federal or state contract)
- Subrecipient Statement of Work
- Subrecipient Budget
- Subrecipient Budget Justification
- Any documents required by the specific sponsor and solicitation

- Any applicable IRB and/or IACUC subrecipient approvals will need to be provided to OSR at the time of the prime award before any subaward can be issued

For more information: https://doresearch.stanford.edu/research-administration/financial-concepts/subawards
Proposal Preparation and Review Basics

- **RPH 14.1**: Preparation, Review, and Submission of Sponsored Project Proposals

- Requirements
  - PI Eligibility
  - Solicitation / Sponsor Guidelines
  - Complete Proposal Application
  - Budget & Justification (both sponsor and internal)
  - Relevant Approved Waivers
  - Complete Subaward Documentation
  - Additional Approvers

How do you know if your Proposal Application is complete?

**Read the Solicitation!**
Budget Development

- **How to Create a Proposal Budget that Makes Award Administration a Snap!**
- Cost sharing
  - Identify Type: Mandatory Committed vs. Voluntary Committed
  - Identify and document source: Cash, In Kind, both
  - Provide separate cost share budget from sponsor budget
  - For more information click here
- Leverage SeRA PDRF Budget Details page
PDRF - Budget Details

- School of Medicine PDRFs - RMG will complete page
- Helpful for “what if?” budget scenarios
- Not required to be filled-out
- Built-in F&A rate schedules for auto calculation of IDC’s
- Auto calculates and totals line and budget
- Captures faculty effort for Other Support reports
- There’s more.....!
PDRF - Budget Details

- Oracle Expenditure Type and description
- Budget data flows into New and Renewal Award PTA Setups
- Customizable IDC base exclusion
- Quick view of budget summary without downloading budget
- More info: Quick Guide
Conflict(s) of Interest

- Completed by PI and anyone else PI names in OPACS system
PDRF - Project Personnel

- Lead PI does NOT need to be entered here (he/she was already entered at beginning of PDRF transaction)
- Manually input other Stanford Faculty, SLAC and Other Key Personnel
- Route early for Stanford Faculty approvals
PDRF - SLAC National Accelerator Laboratory

- Personnel, Work Location
- Separate Approval Process
- SLAC Required Documentation

---

**Will research be done at SLAC?**
- Yes
- No

**SLAC Building**

**Rooms(s)**

**Will SLAC resources be required to perform research (e.g., computers, computer processing, laboratories, equipment)?**
- Yes
- No

**Describe**

**Will any SLAC personnel (paid by SLAC) be paid by this project?**
- No
PDRF – Export Control

- Dept of Defense agencies, NASA, JPL etc. sponsor triggers export control review
- Factor additional time into the required PDRF routing and approval process

More Export Control Information:
http://doresearch.stanford.edu/research-scholarship/export-controls/export-controlled-or-embargoed-countries-entities-and-persons
PDRF – Attachments

- Select correct Category and Subcategory when uploading attachments
- Use update feature to upload new version of existing attachment instead of creating unnecessary duplicate/multiple categories. This makes for searching and sorting of attachments much easier

An example of what not to do and what you should do...

- Do NOT add new attachments if it's a new version of the same document. Use the Update feature.
- Do choose the correct Attachment Category and Subcategory!
- Do use File Tags to make it easier to identify the document
## PDRF – Attachments: Updating Versions

### Attachments (Proposal - New)

**Tim Leung**
Office of Sponsored Research  
Agreement type: Grant  
Sponsor: Bill & Melinda Gates Foundation

**Show All**  **Proposal Instructions**  **List Attachments**

### List Attachments

**Category**
- Detailed Budget & Justification
- Program Guidelines  
Proposal Documents

<table>
<thead>
<tr>
<th>Version</th>
<th>Date/Time</th>
<th>Name</th>
<th>File Tags</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>31-JAN-2017, 12:52 AM</td>
<td>Proposal_Draft.docx</td>
<td>Proposal_Draft_v1</td>
</tr>
</tbody>
</table>

**Updated By**  **Edit**  **Remove**

- Dinh, Linh:  
- 31-JAN-2017 00:53:  
- Edit  
- Remove

- Dinh, Linh:  
- 31-JAN-2017 00:52:  
- Edit  
- Remove

- Dinh, Linh:  
- 31-JAN-2017 00:55:  
- Edit  
- Remove
Proposal Routing Status

- Search by SPO or PDRF number
- See status of PDRF with assignee name, dates and time
- Reassign function (depending on action item and authority)

<table>
<thead>
<tr>
<th>Person</th>
<th>Action Item</th>
<th>Status</th>
<th>Assignee</th>
<th>Assigned</th>
<th>Completed</th>
<th>View Comments</th>
<th>Reassign</th>
</tr>
</thead>
<tbody>
<tr>
<td>PI - Tim Leung</td>
<td>Prepare PDRF</td>
<td>Completed</td>
<td>Linh Dinh</td>
<td>01/30/2017 11:18 PM</td>
<td>01/31/2017 01:52 AM</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Approve PDRF (PI)</td>
<td>Completed</td>
<td>Tim Leung</td>
<td>01/31/2017 01:52 AM</td>
<td>01/31/2017 01:54 AM</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Approve PDRF</td>
<td>In Progress</td>
<td>Theresa Tom</td>
<td>01/31/2017 01:54 AM</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OSF - Michiko Taniguchi Pane</td>
<td>Prepare OSF form</td>
<td>In Progress</td>
<td>Michiko Taniguchi Pane</td>
<td>01/31/2017 01:52 AM</td>
<td></td>
<td></td>
<td>Reassign</td>
</tr>
<tr>
<td>SLAC Review</td>
<td>SLAC Review</td>
<td>In Progress</td>
<td>SLAC Queue</td>
<td>01/31/2017 01:52 AM</td>
<td></td>
<td></td>
<td>Reassign</td>
</tr>
<tr>
<td>Export Control Review</td>
<td>Export Control</td>
<td>In Progress</td>
<td>Export Control Queue</td>
<td>01/31/2017 01:52 AM</td>
<td></td>
<td></td>
<td>Reassign</td>
</tr>
</tbody>
</table>
Helpful Links & Contacts

Cardinal Curriculum – Proposal and Budget Preparation:


RPH 1.4: Openness in Research: [https://doresearch.stanford.edu/policies/research-policy-handbook/conduct-research/openness-research](https://doresearch.stanford.edu/policies/research-policy-handbook/conduct-research/openness-research)

Stanford Electronic Research Administration (SeRA): [https://sera.stanford.edu](https://sera.stanford.edu)

Megan Dietrich reymar@stanford.edu 650-721-2236
Nicole Pobuta npobuta@stanford.edu 650-723-6267
Sarah Makarchuk smakarch@stanford.edu 650-736-6143
Questions?
OSR & SeRA Seminar Series Schedule

Attend seminars
Virtually with Zoom <- video conferencing link to join each seminar. Setup Zoom in advance to attend seminars virtually. Click for more info.