OSR Seminar Series

Proposal Preparation and Development Best Practices

Megan Dietrich, Client Advocacy & Education Specialist
Matt Ho, Contract & Grant Officer
Flora Hsu, Contract & Grant Associate
Office of Sponsored Research

Winter 2018
Proposal Process

- The Solicitation
- Develop
- Review
- Submit
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 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.
• Verify cost sharing commitment and approval has been secured, as applicable.
• 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 to 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 for NSF, NSPIRES for NASA, etc. enter required application information and upload proposal components. Release proposal record for OSR review and submission along with SeRA PDRF
*For federal proposals submitted via Cayuse 424, complete relative application including uploading proposal attachments to application within Cayuse. Indicate Cayuse as submission method on PDRF.
Submission
• Submit proposal as requested or as required: 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/
Considerations

- Proactively ask PI(s)
- Start Early – Build a Timeline
- **Read the Solicitation**
- Initiate a SeRA PDRF early
- Use PDRF’s routing to gather info
- University Policy
- Sponsor Requirements
Solicitation Review Basics

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

= The Solicitation
Solicitation Review Basics

Key elements to look for when *reading* the solicitation…

- Announcement is current
- Due Date (including time and relevant time zone)
- Eligibility
- Submission Method
- Award Amount (min/max)
- Award Duration

- Required documents
- Page lengths
- Formatting requirements
- Indirect costs restrictions
- Funding Requirements and Restrictions
- Effort Requirements
Solicitation Review Basics

Stanford Internal Deadlines

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.
Solicitation Review Basics

March 2016

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Solicitation Review Basics
What goes into a proposal?

At least
• Statement of Work
• Budget
• Budget Justification
• Institutional Commitment

Most will also require…
• Abstract/Project Summary
• CVs/Biosketches
• Bibliography/References Cited
• Facilities Information
• Human subject and/or vertebrate animal information (if applicable)
Solicitation Review Basics

What goes into a proposal?

Some may also require…

- Milestone Timelines
- Current and Pending Support
- Project Narrative
- Data Management Plan
- Mentoring Plan
- List of suggested reviewers and/or those reviewers who should be excluded

- Letters of Support and/or Commitment
- Department Chair Letter
- Equipment and/or supply quotes
- Salary substantiation
- Poor Boy Letter(s)
- Reps and Certifications
- And the list goes on…
Additional Components

- Small Business subcontracting plan
- EH&S questionnaires
- EEO & Diversity questionnaires
- Sponsor Certifications
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 Rate Issues*

*F&A Rate Limitations required in Solicitations require a waiver request and approval
Submission Method

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

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

• Email Submissions – Provide…
  o Name
  o Email address
  o 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 set up SU Net ID
    - If yes, submit a SeRA Help Ticket
Sponsors

- 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

- Restricted Foundation Sponsors
  - Require coordination with the Office of University Foundation Relations
    - Restricted Foundation List: https://cfr.stanford.edu/faculty/how-apply/clearance-restricted-foundations
If the sponsor is new, contact OSR to add the sponsor into SeRA.

If the submission method or portal seems obscure, contact OSR for help.

Provide the appropriate contact information for the proper addressing on the institutional endorsement letter accompanying the proposal.
Facilities & Administrative – F&A Rates aka 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 be 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

**See Pre-Approved IDC Exception List**

To request a reduced IDC rate for this project, click the "Project-Specific IDC Waiver" button. Questions: Contact dor_research_compliance_group@lists.stanford.edu

Requested Indirect Cost Rate (%) 18

If multiple rates, separate with commas
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
  - Relevant Approved Waivers
  - Complete Subaward Documentation
  - Additional Approvers

How do you know if your Proposal Application is complete? Read the Solicitation
Budget Development

- Cost-Sharing
  - Mandatory/Voluntary
  - Separate Budget
- More information on Cost-Sharing
  [https://doresearch.stanford.edu/research-administration/financial-concepts/cost-sharing#proposing-cost-sharing](https://doresearch.stanford.edu/research-administration/financial-concepts/cost-sharing#proposing-cost-sharing)
- Budget Details page
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…..!
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
Project Personnel

- Manually input Stanford Faculty, SLAC and Other Key Personnel
- Lead PI does not need to be entered
- Route early for Stanford Faculty approvals

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**Project Personnel (Proposal - New)**

Tim Leung  
Office of Sponsored Research

Show All  Stanford Faculty  SLAC  Other Key Personnel

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**Stanford Faculty**

Add all participating Stanford Faculty, excluding the PI, whose effort is budgeted or cost shared for this project. All participating faculty must approve their participation in the project. Other approvers should be added as required. Click the ROUTE button to initiate the approval routing process for each faculty member listed. Please note, the following information must be entered in the PDRF before routing can be initiated: Principal Investigator, Sponsor, Project Title & Administering Organization.

Effective Dates: Faculty without an end date identified are considered active on the project. To reactivate a faculty member shown with an end date, click Set Dates to update the effective dates.

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<th>Effective Dates</th>
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Add Stanford Faculty
SLAC National Accelerator Laboratory

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

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<tr>
<td>SLAC Building</td>
</tr>
<tr>
<td>Rooms(s)</td>
</tr>
<tr>
<td>Will SLAC resources be required to perform research (e.g., computers, computer processing, laboratories, equipment)?</td>
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<tr>
<td>Describe</td>
</tr>
<tr>
<td>Will any SLAC personnel (paid by SLAC) be paid by this project?</td>
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Export Control

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

Stanford research must comply with US export control regulations and university policies, and must be assessed for export license applicability. For guidance refer to the Export Controls Decision Tree or contact Steve Eisner.

Will the project involve access to:
- Third-party technical information or software source code that is disclosure-restricted?
- Items on the US Munitions List (ITAR)?

Please consult with Stanford’s Export Control Officer (steve.eisner@stanford.edu or (650) 724-7072) for guidance prior to submitting this proposal.

Will the project involve international shipments or hand carries of equipment, components, materials, or third-party software?

Attachments: Categories and Subcategories

- 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
- Makes for searching and sorting of attachments much easier

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

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<th>Subcategory</th>
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<th>Rev</th>
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<td>Sponsor Proposal Guidelines</td>
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Don’t add new attachments if it’s a new version of the same document. Use the Update feature.

Choose the correct Attachment Category and Subcategory!

Use File Tags to make it easier to identify the document.
Attachments: Updating Versions

View Attachments

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Proposal Routing Status

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

![Proposal Routing Status Table]

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<th>Status</th>
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<th>Completed</th>
<th>View Comments</th>
<th>Reassign</th>
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<td>Prepare PDRF</td>
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<td>Linh Dinh</td>
<td>01/30/2017 11:18 PM</td>
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<td>Approve PDRF</td>
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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

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

Megan Dietrich reymar@stanford.edu 650-721-2236
Matt Ho mattho@stanford.edu 650-725-1291
Flora Hsu cfhsu@stanford.edu 650-723-9103
The 2018 OSR - SeRA Seminar Schedule

Attend seminars virtually with Zoom. Setup Zoom in advance to attend seminars virtually. Click for more info.