OSR Seminar Series

Proposal Preparation: From solicitation to submission

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Office of Sponsored Research

October 9, 2017
Proposal Process

1. The Solicitation
2. Develop
3. Review
4. Submit
### Proposal Preparation Process

<table>
<thead>
<tr>
<th>School/Department</th>
<th>OSR</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Proposal Intake</strong></td>
<td><strong>Proposal Development</strong></td>
</tr>
<tr>
<td>- Assist faculty in identifying funding sources, as applicable.</td>
<td>- Facilitate school/department with interpretation of sponsor guidelines when requested</td>
</tr>
<tr>
<td>- Obtain and review sponsor program guidelines and advise PI(s) regarding proposal requirements, including University internal deadlines.</td>
<td>- Proposal Review</td>
</tr>
<tr>
<td>- Advise PI(s) of applicable University policy and compliance matters (conflict of interest, PI waivers, IDC waivers, cost sharing etc.). Liaison with school dean’s office as necessary.</td>
<td>- Review final proposal package and SeRA PDRF to ensure:</td>
</tr>
<tr>
<td>- 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).</td>
<td>- Sponsor is properly identified</td>
</tr>
<tr>
<td>- Provide OSR with advance notice on pending proposals with unusual requirements, or deadlines with anticipated high volume, as applicable and time permitting.</td>
<td>- Application is in compliance with University and sponsor solicitation guidelines and requirements</td>
</tr>
<tr>
<td><strong>Proposal Development</strong></td>
<td><strong>Institutional Endorsement</strong></td>
</tr>
<tr>
<td>- Develop budgets and budget justifications per PI specifications. Ensure accuracy and compliance with sponsor, solicitation, and University policy.</td>
<td>- Completion of and sign Representations &amp; Certifications for incorporation into proposal package as required</td>
</tr>
<tr>
<td>- Verify cost sharing commitment and approval has been secured, as applicable.</td>
<td>- Prepare and sign University transmittal letter as required</td>
</tr>
<tr>
<td>- Facilitate with PI(s) to complete required administrative components of proposals in compliance with sponsor and solicitation requirements.</td>
<td>- Approve and sign proposals on behalf of University Submission</td>
</tr>
<tr>
<td>- Review proposal for adherence to sponsor solicitation guidelines and compliance with University policy.</td>
<td>- Submit proposal as requested or as required: U.S. Mail, FedEx, e-mail attachment or electronic submissions</td>
</tr>
<tr>
<td><strong>SeRA PDRF</strong></td>
<td><strong>SeRA</strong></td>
</tr>
<tr>
<td>- Initiate SeRA PDRF and route to PI(s) for approval. Ensure it is completed accurately.</td>
<td>- Maintain official University record of proposal record and transaction in SeRA</td>
</tr>
<tr>
<td>- Attach proposal solicitation guidelines, approved waivers and certifications, as applicable, and all other required and relevant proposal components.</td>
<td>- Post Submission</td>
</tr>
<tr>
<td>- For proposals with subawards, attach all required subrecipient proposal components and completed OSR Form 33(s).</td>
<td>- Resolve any submission issues that occur during electronic submissions. Coordinate with School/Dept/PI to secure the required revised information required to complete submissions.</td>
</tr>
<tr>
<td>- Attach complete and final proposal, or, as appropriate*, release final proposal in relative platform/portal.</td>
<td></td>
</tr>
<tr>
<td>- Ensure/facilitate PI approval to advance PDRF &amp; proposal to OSR for review, endorsement, and submission.</td>
<td>*For the School of Medicine/Research Management Group please refer to the below link for roles and responsibilities: <a href="http://med.stanford.edu/rmg/roles/">http://med.stanford.edu/rmg/roles/</a></td>
</tr>
</tbody>
</table>

*For NSF proposals, in Fastlane, enter required application information and upload proposal components. Release Fastlane proposal record for OSR review and submission along with SeRA PDRF. *For federal proposals submitted via Cayuse 424, download and complete relative application including uploading proposal attachments to application. **Submission**  
- As applicable, facilitate with submission to sponsor once OSR endorses proposal.
Considerations

• Proactively ask PI(s)
• Start Early
• **Read the Solicitation**
• Initiate a SeRA PDRF early on
• 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

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

- Sponsor deadline: 9 am
- Tech deadline: 9 am
- Admin deadline: 9 am

- Sponsor Deadline

Notes:
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 & Sample Documents
- Biosketch
- Current & Pending (Other Support Document)
- Resources/Facilities
Showstoppers!

- Citizenship Restrictions
- Publication Restrictions
- F&A Rate Issues*

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

Sponsor Portals (Fastlane, NSPIRES, ProposalCentral etc.)

• Access
  • Roles
    ➢ Principal Investigator
    ➢ Administrator
    ➢ Institutional Official

• Proposal components

Email / Contact Information for non-portal submissions
Principal Investigator (PI)

- PI has a valid SUNet ID that populates in 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
- Eligibility – PI is a member of the academic council or is a med center line faculty?
  - If no, a PI waiver may be needed – this takes time!
Sponsors

• Sponsor not listed in SeRA? Contact osr_intake@stanford.edu
• Sponsor-Specific Export Control Triggers
  - Department of Defense Agencies, NASA, etc.
• University Foundation Relations
  - Restricted Foundation List:
    https://cfr.stanford.edu/faculty/how-apply/clearance-restricted-foundations

This submission requires coordination with the Office of University Foundation Relations. Please complete the form found at https://cfr.stanford.edu/faculty/how-apply/clearance-restricted-foundations to obtain approval from Foundation Relations. Additional information can be found here: http://www.stanford.edu/dept/foundationrelations/coordination/
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

- Is it less than our fully negotiated rate?
- Is the sponsor on the pre-approved list?
F&A Waivers

• If a sponsor does not have a published policy for its IDC rate allowance - “No”, a request for a Project-Specific IDC Waiver can be submitted to the Dean of Research

**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 (%)
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
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
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
● 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

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<tr>
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<tr>
<td>Lawrence Berkeley</td>
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<td>Laboratories, University of California/PI 70497</td>
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<th>TOTAL DIRECT</th>
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**F&A Calculations**

Rate Agreement: FY17 - FY18 Federal Rate Agree

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<tr>
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<td>Animal Care IDC Rate: 83%</td>
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<tr>
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<tr>
<td>Animal Care F&amp;A: $0</td>
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</table>

<table>
<thead>
<tr>
<th>BUDGET TOTAL</th>
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<tbody>
<tr>
<td>$115,700</td>
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</table>
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
SLAC National Accelerator Laboratory

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

**SLAC**

**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?**
- [ ] Yes
- [ ] No
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…

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

<table>
<thead>
<tr>
<th>Version</th>
<th>Date/Time</th>
<th>Name</th>
<th>File Tags</th>
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<td>Proposal_Draft.docx</td>
<td>Proposal_Draft_v1</td>
</tr>
</tbody>
</table>
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)
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](mailto:reymar@stanford.edu) 650-721-2236
Bethany Batterbee [bbatterbee@stanford.edu](mailto:bbatterbee@stanford.edu) 650-724-7259
Sarah Makarchuk [smakarch@stanford.edu](mailto:smakarch@stanford.edu) 650-736-6143
The 2017 Fall OSR - SeRA Seminar Schedule

- How to Create a Proposal Budget That Makes Award Administration a Snap! – Oct 10, 2017 - 3:00 to 4:00 pm
- SeRA New Account Setup – Oct 16, 2017 - 3:00 to 4:00 pm
- Cayuse 424: The Solution for the Retiring Grants.gov PDF Application – Oct 18, 2017 - 11:00 to 12:00 pm
- How to Manage Awards with Carry Forward Restrictions – Oct 18, 2017 - 3:00 to 4:00 pm
- Post Award Management: “Don’t We Just Catch That at Closeout?” – Oct 25, 2017 - 3:00 to 4:00 pm
- SeRA OSR Request Form for Sponsored Project Management – Oct 31, 2017 - 3:00 to 4:00 pm
- How to Manage Your Faculty’s Research Portfolio with SeRA My Projects – Nov 1, 2017 - 10:30 to 11:30 am
- Cayuse 424: The Solution for the Retiring Grants.gov PDF Application (repeat) – Nov 16, 2017 - 1:00 to 2:00 pm

Attend seminars
In person at the Clark Center - Room S361
Virtually with Zoom <- video conferencing link to join each seminar. Setup Zoom in advance to attend seminars virtually. Click for more info.