

OSR Seminar Series

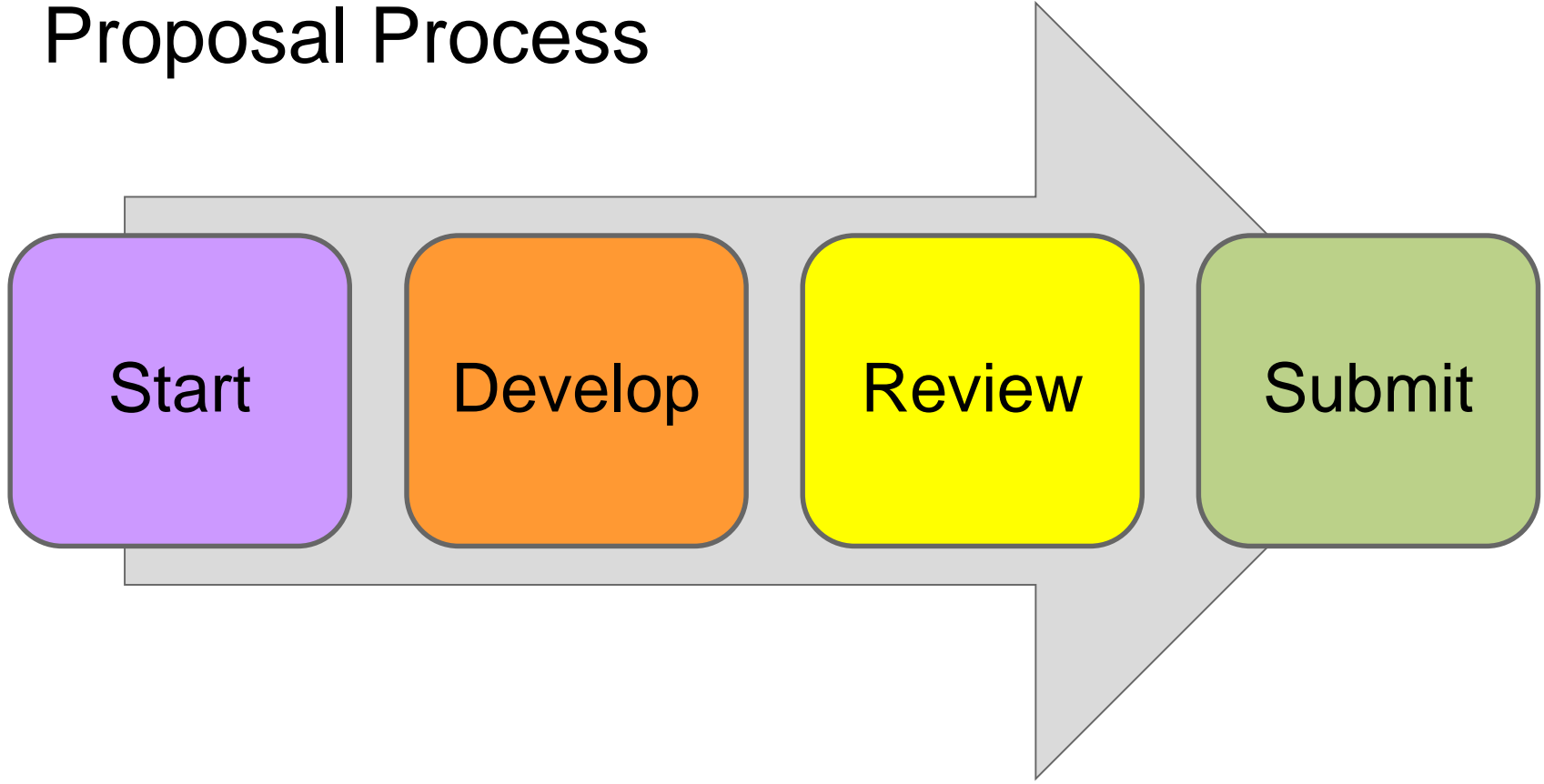
Proposal Processing & Review

Natalie Muzzio, Senior Contract & Grant Officer
Sarah Makarchuk, Contract & Grant Associate
Office of Sponsored Research

January 31, 2017



Proposal Process



Considerations

- Start Early
- Communicate with PI
- Read the Solicitation
- Initiate a SeRA PDRF early on
- Use PDRF's routing to gather info
- University Policy
- Sponsor Requirements

Solicitation Review Basics

- Read the Solicitation
- Sponsor Specific Requirements
 - Due Date
 - Page Limits, Formatting
 - Proposal Components
 - Submission Method
 - Unique Requirements

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
 - Access
 - Roles
 - > Principal Investigator
 - > Administrator
 - > Institutional Official
 - Proposal components
- Email / Contact Information

Principal Investigator

- SUNet ID
 - SeRA Help Ticket
- Eligibility
 - Waiver

Principal Investigator & Project Location (Proposal - New)

Agreement type: Grant

Principal Investigator

Principal Investigator ⓘ

Email: tnleung@stanford.edu Phone: (650) 725-5966 Department: OSR Pre Award

PI is an Academic Council member

PI is a Med Center Line faculty

Other (PI Waiver may be required)

In accordance with Stanford's policy on [Principal Investigatorship \(RPH 2.1\)](#), eligibility to act as a principal investigator (PI) or co-principal investigator (Co-PI) on externally-funded projects is a privilege limited to members of the Academic Council and to the MCL faculty. If an exception has not been granted, contact your School Dean's Office or Dean of Research Office immediately.

[Click here to attach PI Waiver](#) (Category: Waiver, Sub-category: PI)

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>

▼ **Sponsor Details**

Sponsor ⓘ	Bill & Melinda Gates Foundation (GATES) × ▼	Sponsor Type	US Foundation
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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/>

Sponsor Information

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

▼ Sponsor Details

Sponsor ⓘ

Sponsor Reference Number

Sponsor Deadline Yes No

Date **Time** **Time Zone**

e.g. 11/25/2010 e.g. 05:00 PM

0 Business Days until Sponsor Deadline. Does not account for Stanford holidays or non-business days

Internal Deadline

Requested Completion

Submission Method

Check this box to enter sponsor mailing address

Street1

Street2

City

State Zip

Country

Check this box to enter sponsor budget contact information

First Name

Last Name

Phone

Email

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

- Budget Details page
- Cost-Sharing
 - Mandatory/Voluntary
 - Separate Budget
- More information on Cost-Sharing
<https://doresearch.stanford.edu/research-administration/financial-concepts/cost-sharing#proposing-cost-sharing>

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?
 - <https://sera.stanford.edu/apex/f?p=600:1:7406091493547>
- Research Policy Handbook 15.2.
 - <http://doresearch.stanford.edu/policies/research-policy-handbook/financial-aspects-sponsored-projects-administration/facilities-and-administrative-indirect-cost-waivers>

F&A Waiver

- 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

Indirect Costs (IDC)

Does this proposal apply an F&A rate less than Stanford's negotiated rates? Yes No **See Pre-Approved IDC Exception List

Program

Program not listed

Does this sponsor have a published policy regarding indirect costs? Yes No

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

Project-Specific IDC Waiver

Requested Indirect Cost Rate (%)
If multiple rates, separate with commas

Subawards

- Required Forms:
 - <http://doresearch.stanford.edu/research-administration/major-topics/subawards#subaward-forms>
- Proposal is not complete until all required documents received

Budget Questions (Proposal - New)

Tim Leung

Agreement type: Grant

Show All Budget Information Indirect Costs (IDC) Cost Share Subawards

▼ Subawards

Are subawards included in this proposal? Yes No

Add Subrecipient

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*.....!

Rate Schedule 1
+ Add a rate schedule

Activity: Organized Research (On Campus) ▼

+ Add a period

Auto Fill

	Period 1	Period 2 🗑️	Period 3 🗑️	Total
Starts:	09/01/2017	09/01/2018	09/01/2019	09/01/2017
Ends:	08/31/2018	08/31/2019	08/31/2020	08/31/2020

Faculty/Other Key Person Effort

--Select one-- ▼

Budget Category ℹ️	Period 1	Period 2	Period 3	Total
Salary 51100-Salary and Wages	\$ 3,000	\$ 3,000	\$ 3,000	\$ 9,000
Benefits 51700-Fringe & Other Benefits	\$ 900	\$ 900	\$ 900	\$ 2,700
Consultant Fees 54201-Professional Services	\$ 	\$ 	\$ 	\$ 0
Materials & Supplies 55201-Materials Supplies Lab	\$ 	\$ 	\$ 	\$ 0
Travel - Domestic 52410-Domestic Travel/Lodging Allow	\$ 	\$ 	\$ 	\$ 0
Travel - International 52420-Foreign Travel/Lodging Allow	\$ 	\$ 	\$ 	\$ 0

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 <https://doresearch.stanford.edu/node/2506314/attachment/newest>

Institutional Allowance 58501-Interdept Costs Other	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ 0
Subawards				
Woodland Corporation/Rod Woodson	\$ <input type="text" value="10,000"/>	\$ <input type="text" value="10,000"/>	\$ <input type="text" value="10,000"/>	\$ 30,000
Inclusion 54710-Subaward Subject to IDC \$25k Maximum	\$ <input type="text" value="10,000"/>	\$ <input type="text" value="10,000"/>	\$ <input type="text" value="5,000"/>	
Exclusion ★ 54720-Subaward Not Subject to IDC	\$ <input type="text" value="0"/>	\$ <input type="text" value="0"/>	\$ <input type="text" value="5,000"/>	
TOTAL DIRECT	\$ <input type="text" value="13,900"/>	\$ <input type="text" value="13,900"/>	\$ <input type="text" value="13,900"/>	\$ 41,700
F&A Calculations				
Rate Agreement:	<input type="text" value="FY15 - FY16 Federal Rate Agreem"/>			
IDC Basis:	<input type="text" value="MTDC"/>			
	Period 1	Period 2	Period 3	Total
Rate:	<input type="text" value="58%"/>	<input type="text" value="58%"/>	<input type="text" value="58%"/>	
Animal Care IDC Rate:	<input type="text" value="83%"/>	<input type="text" value="83%"/>	<input type="text" value="83%"/>	
Base:	\$ <input type="text" value="13,900"/>	\$ <input type="text" value="13,900"/>	\$ <input type="text" value="8,900"/>	\$ 36,700
F&A:	\$ <input type="text" value="8,062"/>	\$ <input type="text" value="8,062"/>	\$ <input type="text" value="5,162"/>	\$ 21,286
Animal Care F&A:	\$ <input type="text" value="0"/>	\$ <input type="text" value="0"/>	\$ <input type="text" value="0"/>	\$ 0
BUDGET TOTAL	\$ <input type="text" value="21,962"/>	\$ <input type="text" value="21,962"/>	\$ <input type="text" value="19,062"/>	\$ 62,986

Conflict of Interest

- Completed by PI and anyone else PI names in OPACS system
- OPACS website: <http://opacs.stanford.edu/>

STANFORD UNIVERSITY OUTSIDE PROFESSIONAL ACTIVITIES CERTIFICATION SYSTEM (OPACS)

Outside Professional Activities Reporting Dashboard

- Home
- My OPACS Record
- Contact Information
- User Guides
- Help Request (HelpSU)
- Report Travel
- eProtocol
- SeRA

Action Items

No action items found.

Relationships

[Edit or Add New Relationship](#)

No relationships found.

If you have PHS-funded research, you are required to add or update relationships within 30 days of discovering or acquiring a financial interest.

Submitted Disclosures

[My OPACS Record](#)

No Items in Review

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

Project Personnel (Proposal - New)

Tim Leung
Office of Sponsored Research

Sponsor: Bill & Melinda Gates Foundation



Agreement type: Grant


Show All Stanford Faculty SLAC Other Key Personnel

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 re-activate a faculty member shown with an end date, click Set Dates to update the effective dates.

Name	Role	Appt Type	%Effort	Key Prop	Status	Department	Set Dates	Effective Dates	Route	Approval Date		
Michiko Taniguchi Pane	Co-investigator	Calendar	100	No	Active	Office of Sponsored Research(BWLO)	Set Dates	08/01/2017 -	Route	-		

Add Stanford Faculty 

1 - 1

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? 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

▼ **Export Control**


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? ⓘ

Yes No 

Yes No 

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

Attachments: Updating Versions

Attachments (Proposal - New)

Tim Leung
Office of Sponsored Research

Sponsor: Bill & Melinda Gates Foundation

Agreement type: Grant

Show All Proposal Instructions **List Attachments**

View Attachments

Version	Date/Time	Name	File Tags
3	31-JAN-2017, 12:55 AM	Proposal_Draft.docx	Proposal_Draft_v3
2	31-JAN-2017, 12:55 AM	Proposal_Draft.docx	Proposal_Draft_v2
1	31-JAN-2017, 12:52 AM	Proposal_Draft.docx	Proposal_Draft_v1

List Attachments

Files, categories & subcategories

Category	Subcategory	Attachment	Version	Date/Time	Updated By	Edit	Remove
Detailed Budget & Justification	Detailed Budget & Justification	Proposal_Draft.docx	3	31-JAN-2017 00:55	Dinh, Linh		
Detailed Budget & Justification	Detailed Budget & Justification	Proposal_Draft.docx	2	31-JAN-2017 00:55	Dinh, Linh		
Program Guidelines	Program Guidelines	Solicitation_RFP 2016-246.docx	1	31-JAN-2017 00:53	Dinh, Linh		
Proposal Documents	Statement of Work	SOW.pdf	1	31-JAN-2017 00:52	Dinh, Linh		
Proposal Documents	Proposal - DRAFT	Proposal_Draft.docx	3	31-JAN-2017 00:55	Dinh, Linh		

Attachment Link to Existing Document

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...

List Attachments									
Files, categories & subcategories denoted by an asterisk are only viewable by Central Office users. View Attachment Restrictions.									
Category	Subcategory	File Name	Rev #	File Tag(s)	Updated On	Updated By	Edit	Remove	
Detailed Budget & Justification	Budget - New	Budget.xlsx	1	3rd budget	31-JAN-2017 01:23	Dinh, Linh			
Detailed Budget & Justification	Budget - New	Budget.xlsx	1	Budget no. 2	31-JAN-2017 01:23	Dinh, Linh			
Detailed Budget & Justification	Budget - New	Budget.xlsx	1	Budget	31-JAN-2017 01:13	Dinh, Linh			
Proposal Documents	Other	Solicitation_RFP 2016-246.docx	1	Sponsor Proposal Guidelines	31-JAN-2017 01:24	Dinh, Linh			
Proposal Documents	Subaward Proposal Documentation	Subaward Proposal.pdf	1	UOG Subaward Proposal	31-JAN-2017 01:20	Dinh, Linh			
Proposal Documents	Proposal - New	Proposal Final.docx	1	Proposal Final	31-JAN-2017 01:15	Dinh, Linh			

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 the it easier to identify the document

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)

Search: SPO #

▼ Proposal Routing Status							
Person	Action Item	Status	Assignee	Assigned	Completed	View Comments	Reassign
PI - Tim Leung	Prepare PDRF	Completed	Linh Dinh	01/30/2017 11:18 PM	01/31/2017 01:52 AM		
	Approve PDRF (PI)	Completed	Tim Leung	01/31/2017 01:52 AM	01/31/2017 01:54 AM		
	Approve PDRF	In Progress	Theresa Tom	01/31/2017 01:54 AM			Reassign
OSF - Michiko Taniguchi Pane	Prepare OSF form	In Progress	Michiko Taniguchi Pane	01/31/2017 01:52 AM			Reassign
SLAC Review	SLAC Review	In Progress	SLAC Queue	01/31/2017 01:52 AM			Reassign
Export Control Review	Export Control	In Progress	Export Control Queue	01/31/2017 01:52 AM			

Additional Components

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

Time Savers

- Biosketch
- Current & Pending (Other Support Document)
- Resources/Facilities

Helpful links & contacts

Cardinal Curriculum – Proposal and Budget Preparation:

DoResearch: <http://doresearch.stanford.edu/training/cardinal-curriculum-level-2/proposal-and-budget-preparation-dor-1120>

RPH 14.1: <https://doresearch.stanford.edu/policies/research-policy-handbook/sponsored-project-proposals/preparation-review-and-submission-sponsored-project-proposals>

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>

Natalie Muzzio: muzzio@stanford.edu

Sarah Makarchuk: smakarch@stanford.edu