Find the heart among the snails.
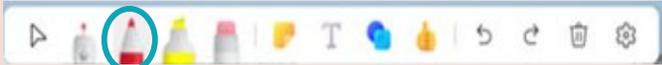
facebook.com/thedudolf

Select the Annotate option, then use the tools to circle the heart when you find it. Good Luck!

Hidden Picture

Proposal Review & Submission

The Fundamentals of Sponsored Projects Administration at CSU

Colorado State University

Proposals for Extramural Funding

- OSP is the coordinating office for externally funded activities.

- Proposals for external funding via grants, cooperative agreements, contracts, and some 'gift' types require OSP prior review.

Types of Sponsoring Organizations

Associations, Professional organizations, Societies

Business and industry

Federal awarding agencies

State and local governments

Foundations

Colorado State University
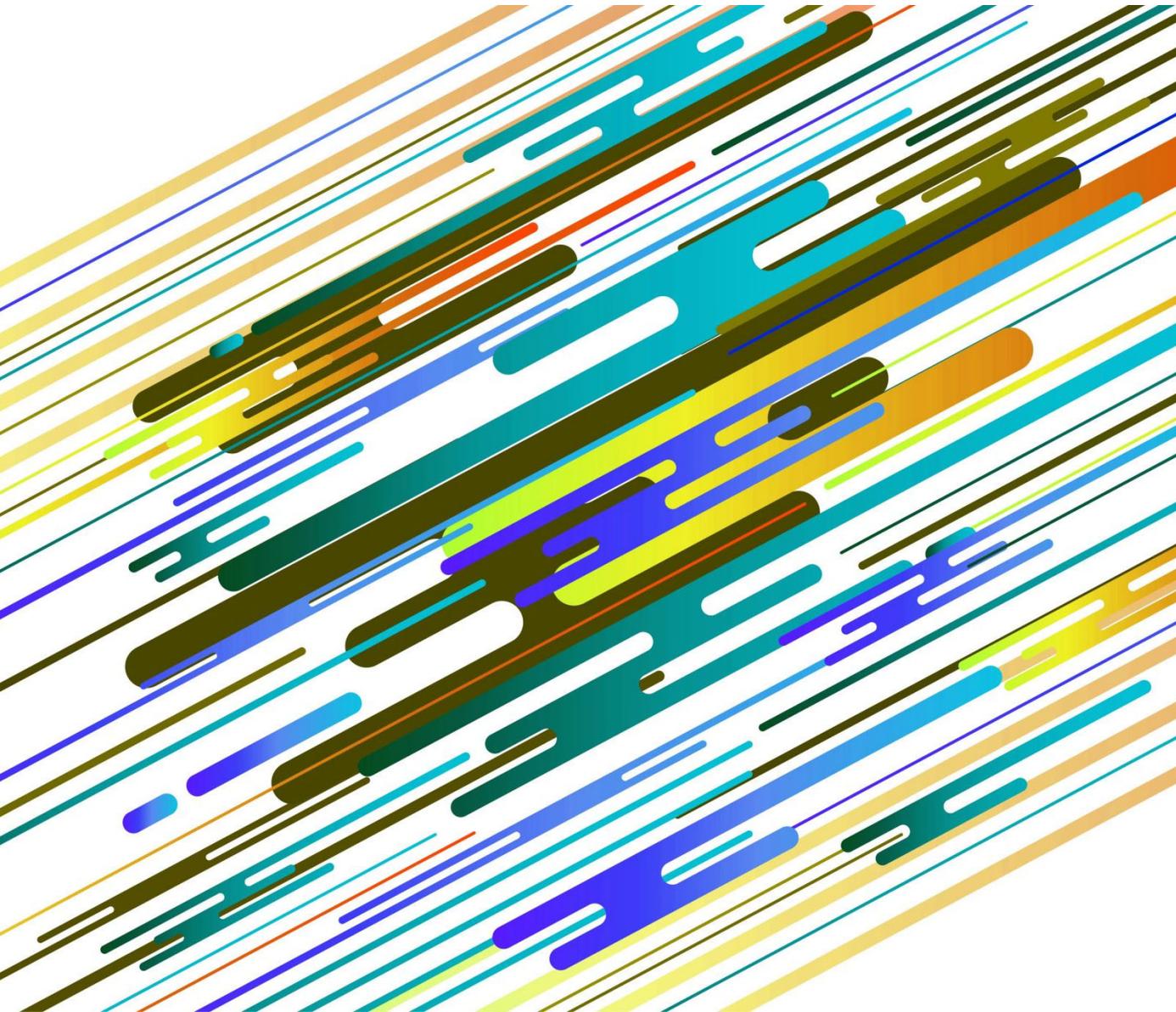
A Word on Limitations & Eligibility

- **Institution Limitations**

  - PI Eligibility

- **Sponsor Limitations**

  - Limit the type of institution that can apply

  - Limit of Principal Investigator by stage of career or # / type of submissions

  - Limit on the number of proposals that may be submitted by an institution = Limited Submission

    - Coordinated by RAO office – InfoReady

FOA Activity

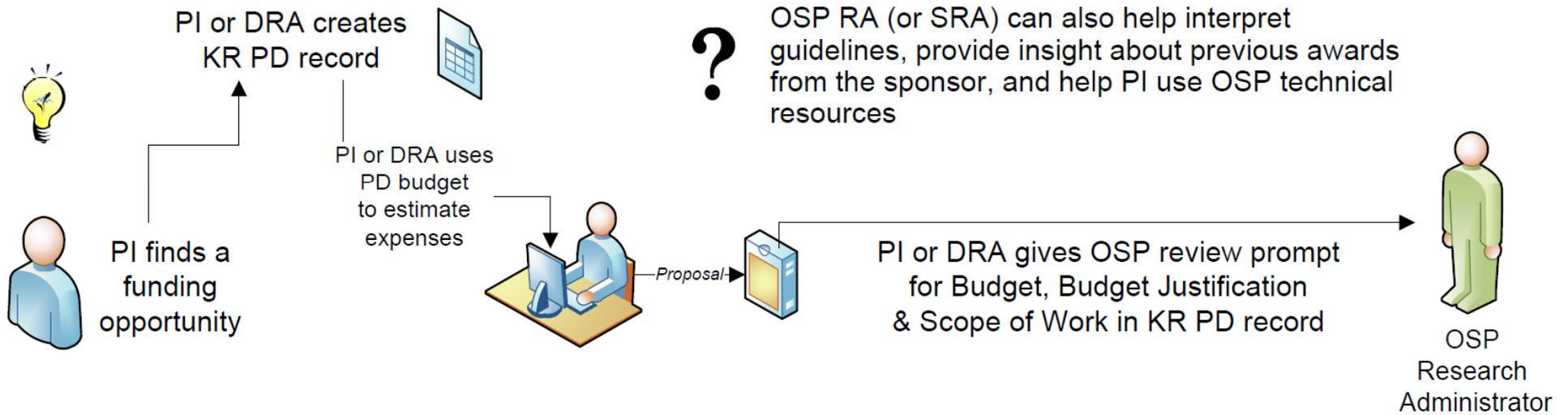NIH Academic Research Enhancement Award (AREA – R15) program

NIH AREA program / NSF Early CAREER Program

NSF Major Research Instrumentation (MRI) program

Others…

PI decides to seek external funding

PI or DRA creates KR PD record

PI or DRA uses PD budget to estimate expenses

PI finds a funding opportunity

?

OSP RA (or SRA) can also help interpret guidelines, provide insight about previous awards from the sponsor, and help PI use OSP technical resources

Proposal

PI or DRA gives OSP review prompt for Budget, Budget Justification & Scope of Work in KR PD record

OSP Research Administrator

Proposal Routing & Submission

Full Proposal Components

Administrative	Scientific	Programmatic	Financial
General Institutional Information	Abstract/Summary	Key Personnel Biosketches and Other Support	Detailed Budget
Performance Site(s)	Specific Aims	Facilities and Other Institutional Resources	Budget Justification
Administrative Contacts	Research Strategy/Scope of Work	Resource Sharing plans/ Data Management	Supporting Documentation
Institutional Certifications	Compliance Plans	Letters of Intent or Collaboration	

Administrative

Navigate to 'Commonly Requested Information' on the OSP website (https://www.research.colostate.edu/osp/).

Find:
1. Congressional District
2. Human Subjects Assurance #
3. CSU Tax ID
4. Unique Entity Identifier (UEI)

General Institutional Information

Performance Site(s)

Administrative Contacts

Institutional Certifications

Scientific

- Abstract / Summary
- Specific Aims
- Research Strategy / Scope of Work
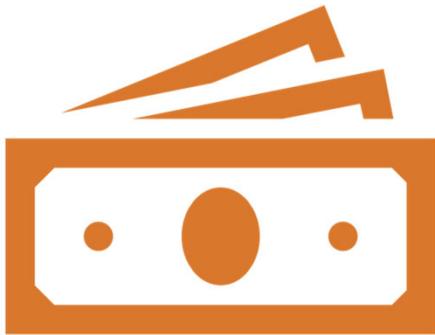- Compliance Plans

Programmatic

Key Personnel – Biosketches; Current / Pending / Other support

Facilities & Institutional Resources

Research Sharing Plans / Data Management

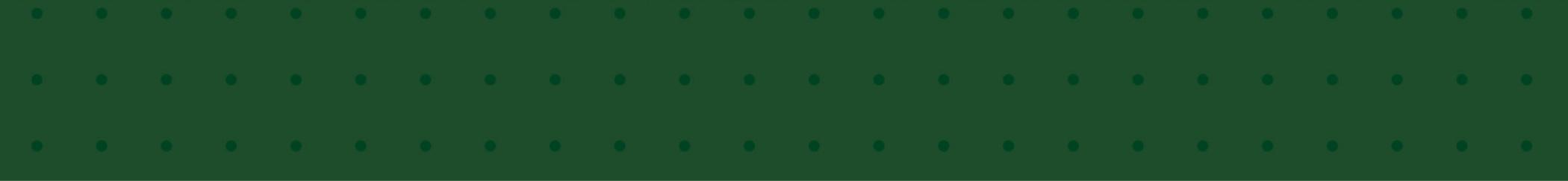Letters of Intent / Collaboration

Financial

Detailed Budget

Budget Narrative / Justification

Supporting Documentation

Roles and Responsibilities

Pre-Award Activities					
Proposal Review & Approval- Getting it Checked Out	**Principal Investigator**	**Unit/Department**	**College**	**OSP**	**Other Resources**
Review proposal package, including cost-share requirements, before OSP review is requested	Assistance	Primary	Assistance		
Provide institutional review and approval of proposal and budget		Assistance	Assistance	Primary	
Review proposed cost sharing commitment for compliance with University policy and sponsor terms			Assistance	Primary	
Review subrecipient's materials and check for their institutional approval(s)		Primary	Assistance	Assistance	
Make revisions and corrections to proposal/budget after institutional review	Primary	Assistance			
Identify export control, international travel, classified information issues, if any	Primary	Assistance			Secure & Global Research (SGR)
Identify IRB- Human Subjects, IACUC-Animal Subjects, and/or IBC-Biosafety approvals needed, if any	Primary	Assistance			Safety and Compliance
Identify and report financial conflict of interest (fCOI), if any as required	Primary				Secure & Global Research (SGR)
Confirm all elements of proposal are final and ready for submission	Primary	Assistance			
Route KR PD record for applicable institutional approvals		Primary	Assistance		
Certify KR PD record	Primary				
Proposal Submissions- Getting it Out the Door	**Principal Investigator**	**Unit/Department**	**College**	**OSP**	**Other Resources**
Submission required by authorized organizational representative (AOR)				Primary	
Submission to sponsor after OSP review and approval, if AOR submission not required or allowed	Primary*			Assistance*	*Depends on portal requirements or sponsor guidance
Ensure KR PD record is complete and approved	Assistance	Assistance		Primary	
Post-submission Follow Up- Ensuring All is in Order	**Principal Investigator**	**Unit/Department**	**College**	**OSP**	**Other Resources**
Prepare additional sponsor required forms (e.g., JIT- Just in Time)	Primary	Assistance			
Submit additional sponsor-required forms (e.g., JIT- Just in Time)	Assistance	Assistance		Primary	
Prepare/submit revised budgets as requested by sponsor	Assistance	Assistance		Primary	
Request pre-award spending (Advanced Start) account	Primary	Assistance			
Approve/set up pre-award spending account		Assistance*		Primary	*Department/unit approvals needed

Roles and Responsibility Matrix

Kuali Research Proposal Development (KRPD)

Why?

- Proposal Approval Routing System
- Key Personnel Certifications
- Compliance Questionnaire
- Budgeting Module
- **Required**

Fun Fact:
Kuali means 'Wok' in Malaysian

Kuali Research Proposal Development (KRPD)

Why?

- Saves time at the proposal stage
- Has correct information
- Saves time at the award stage
- **Required**

kuali

A wok is a humble yet essential tool like this software system is meant to be.

*https://www.kuali.co/community/ourstory

READY!

- Draft budgets and **business-related elements** received by OSP for **review 5 business days** prior are reviewed as received.

  What are Business Elements?

  - Budget and budget justification (draft SOW helps!)
  - Institutional commitments (incl. F&A waivers)
  - Subaward documentation
  - Significant financial interest disclosures/training up to date
  - COI has been submitted/approved

	At least 5 business days prior	At least 3 business days prior	1 business day prior
Required Elements Prior to Sponsor Deadline	Draft budget in KR PD and required business elements ready for OSP review	Proposal record containing OSP approved business elements 'Submitted to Routing'	All proposal elements final in KR PD or in the sponsor portal, ready for submission

Preparing for Initial OSP Review

SET! Feedback & Routing for Approvals

- KR PD record with all final business-related elements should be submitted to routing at least **3 business days** prior to the sponsor deadline.

    Steps:

    - Investigator, unit administrator, and OSP have reviewed and **approved** the final budget and **business elements**;

    - OSP has marked the KR PD budget as 'Include for Submission'; and

    - The Initiator, another Unit Aggregator, or Investigator has clicked 'Submit to Routing' in KR

	At least 5 business days prior	At least 3 business days prior	1 business day prior
Required Elements Prior to Sponsor Deadline	Draft budget in KR PD and required business elements ready for OSP review	Proposal record containing OSP approved business elements 'Submitted to Routing'	All proposal elements final in KR PD or in the sponsor portal, ready for submission

OSP Proposal Review Responsibilities

- In guidelines/RFP confirm the following
  - Eligibility to apply
  - Submission deadline
  - F&A rate
  - Cost share requirements
  - Budget restrictions
  - Method of submission
  - Required forms
- Check KRPD Proposal Basics tab
  - Proposal title included and conforms to sponsor and OSP titling requirements
  - Proposal type is appropriate
  - Project dates are included
  - Submission method and deadline are included
- Review KR PD budget
  - Sponsor specific guidelines followed (e.g. F&A rate restrictions and/or exemptions, unallowable items, total allowable budget)
  - Confirm Activity Type, F&A rate, and F&A rate type are correct and make sense for project
  - Review F&A waiver requests
  - If cost share is included, confirm appropriate documentation is included
  - Review budget justification for unallowable cost categories/items, cost-share commitments not itemized in the budget
- Review KRPD attachments for all documentation necessary for OSP review
  - OSP will sign completed SF424 and SF424a forms
  - OSP will include necessary institution-level certifications in submission to sponsor
  - OSP will scan the Scope of Work document if included for submission compliance elements
- Review sub-recipient documents for sub-recipient compliance monitoring
  - Sub Budget and Justification reviewed in same manner as budget in KRPD
  - Statement of Work has been provided
  - Subrecipient commitment form or FDP letter is complete, including work with humans and/or animals
- In the application portal and/or forms
  - Confirm that KR PD title matches sponsor portal or document title
  - Confirm necessary documentation is present/uploaded in portal
  - Confirm that KR PD budget matches submission budget (with allowance for rounding discrepancies)
  - Confirm correct Animal Welfare, Federal Wide Assurance #, CFDA, EIN, and DUNs information is entered correctly (as applicable)
  - Complete applicable assurances, representations and certifications forms or sections of the application (as applicable)
- PHS FCOI Training and CSU COI Disclosure statuses for Key Personnel are 'current' (as applicable)

OSP Is Not Responsible For

X Reviewing proposals for spelling, grammatical, formatting errors/issues
X Reviewing technical/scientific aspects of proposals
X Developing proposal budgets
X Creating or populating KRPD records

OSP Review

OSP Review

The proposal review provided by the OSP adds value by:

- ☑ Ensuring proposals submitted by CSU meet all the sponsor requirements

- ☑ Verifying proposed budgets align with sponsor requirements and CSU cost-accounting standards

- ☑ Reviewing agreements upfront for acceptable terms and conditions

- ☑ Confirming subrecipient documentation is in place for streamlining the subaward process

Institutional Authorizations

- Proposals, awards, and other agreement types for extramural funding must be reviewed and signed by an Authorized Organizational Official (AOR).

- To get signature approval on a completed proposal, the investigator must complete and route a KR PD record for approval.

- Faculty investigators, department chairs, and deans are not authorized to sign proposals and awards.

|	
Authorized to Negotiate Contracts	Contact the appropriate Senior Research Administrator in your college/department on the OSP Staff Directory page.
Authorized University Official to Sign Certifications	Contact the appropriate Senior Research Administrator or Research Administrator in your college/department on the OSP Staff Directory page.
Authorized University Official to Sign Contracts and Award Agreements (send to Sponsored Programs for preliminary review by Senior Research Administrator)	Vice President for Research Associate Vice President for Research Assistant Vice President for Research Director of Sponsored Programs Associate Director of Sponsored Programs Assistant Director of Sponsored Programs Senior Research Administrators Contracting Officer / Subaward Administrator
Authorized University Official to Sign Proposals	Contact the appropriate Senior Research Administrator or Research Administrator in your college/department on the OSP Staff Directory page.

GO! Proposal Submission

- **1 business day** prior to the sponsor deadline, the KR PD should be at OSP's level for approval. All attachments must be final and ready for submission to the sponsor.

- For proposals requiring submission by an authorized official, the proposal should be available in final format in the applicable portal/system.

	At least 5 business days prior	At least 3 business days prior	1 business day prior
Required Elements Prior to Sponsor Deadline	Draft budget in KR PD and required business elements ready for OSP review	Proposal record containing OSP approved business elements 'Submitted to Routing'	All proposal elements final in KR PD or in the sponsor portal, ready for submission

Sponsor Portals
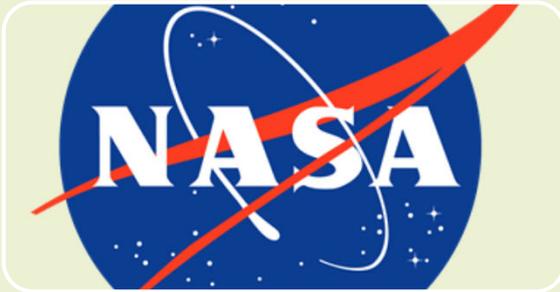
National Aeronautics & Space Administration (NASA)

NASA NSPIRES

National Institutes of Health (NIH)

Grants.gov Workspace, or NIH ASSIST.

National Science Foundation (NSF)

Research.gov

Proposal Access & Roles

- Institutional registration with sponsor portals by CSU's E-Business Point of Contact (Ebiz POC) in OSP

- Account creations/affiliations vary by portal

- Once individual accounts are created/affiliated, the CSU Ebiz POC may need to assign specific roles in the portal
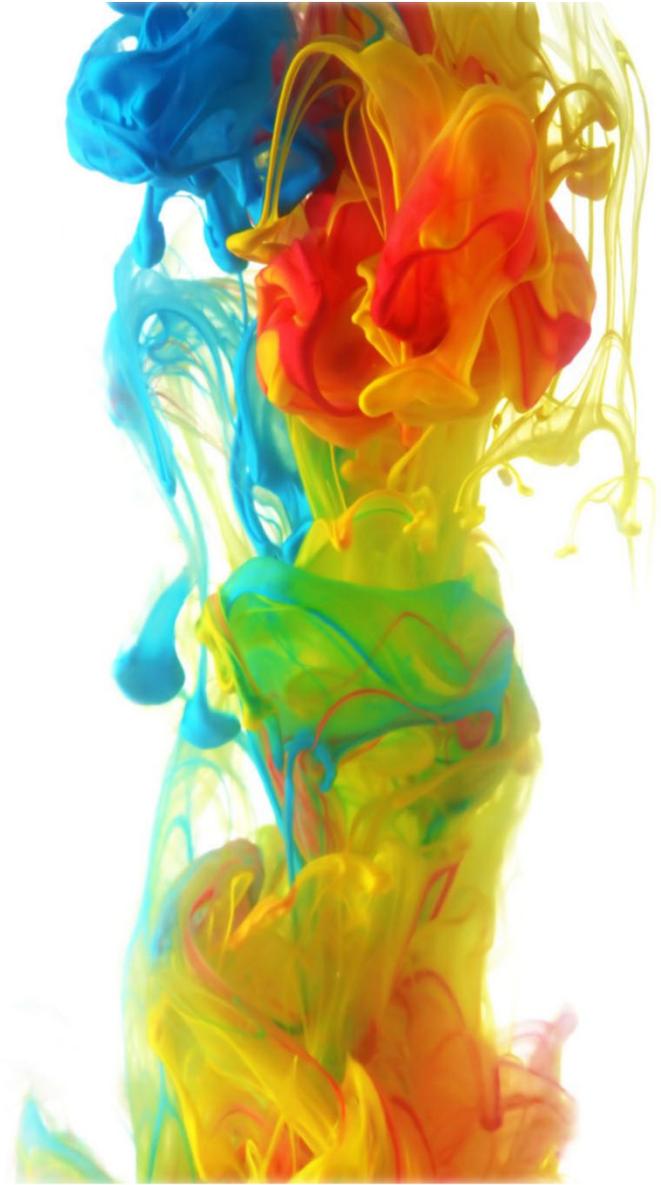
Proposal Review / List the Order of Submission Steps in **Ideal** Priority

A. Submit complete KR PD record to routing

B. Begin proposal in KR PD – listing sponsor deadline/target date

C. Notify OSP that the draft budget is ready for review

D. Submit the proposal to the sponsor

E. Obtain approval to submit from an OSP Research Administrator

Institutional Certifications

- Government-wide proposal certifications included in SAM.gov institutional certification
  - ❑ Lobbying
  - ❑ Debarment, Suspension, & Other Responsibilities
- Agency / Program Specific certifications
  - ❑ Drug-free Workplace
  - ❑ Nondiscrimination in Federally-assisted programs
- Certifications generally require AOR signature

Post-Submission Requests:
Prior to Review

Articles accepted for publication

Citations of issued patents

News of professional promotion or tenure for key personnel

Budget modification based on alternate funding

Materials resulting from a change of key personnel/institutions

Post-Submission Requests:
Prior to Award

- Just-in-Time (JIT) information is information required by a sponsor prior to issuing an award

- JIT requests typically occur after the sponsor has reviewed the proposal

  Common JIT requests:

  - Compliance approvals for protocols involving humans, animals, or certain biological or hazardous materials

  - Documentation of sources of research support (e.g., other support)

  - Small business subcontracting plans

  - Budget modifications

CSU Research Integrity, Safety, and Compliance Offices

- Office of Research Collaboration and Compliance (**ORCC**)
  - Biosafety Office
  - Institutional Biosafety Committee (**IBC**)
  - Institutional Animal Care and Use Committee (**IACUC**) – Animal Subjects
  - CSU Research and Safety Culture
- Lab Animal Resources (**LAR**)
- Institutional Review Board (**IRB**) – Human Subjects
- Clinical and Translational Research Office (**ClinTRO**)
- Office of Research Integrity – Responsible and Ethical Conduct of Research Training (**RCR or RECR**)
- Secure and Global Research – Export Control
- Conflict of Interest (**COI**)
- Quality Assurance
- Clinical Review Board

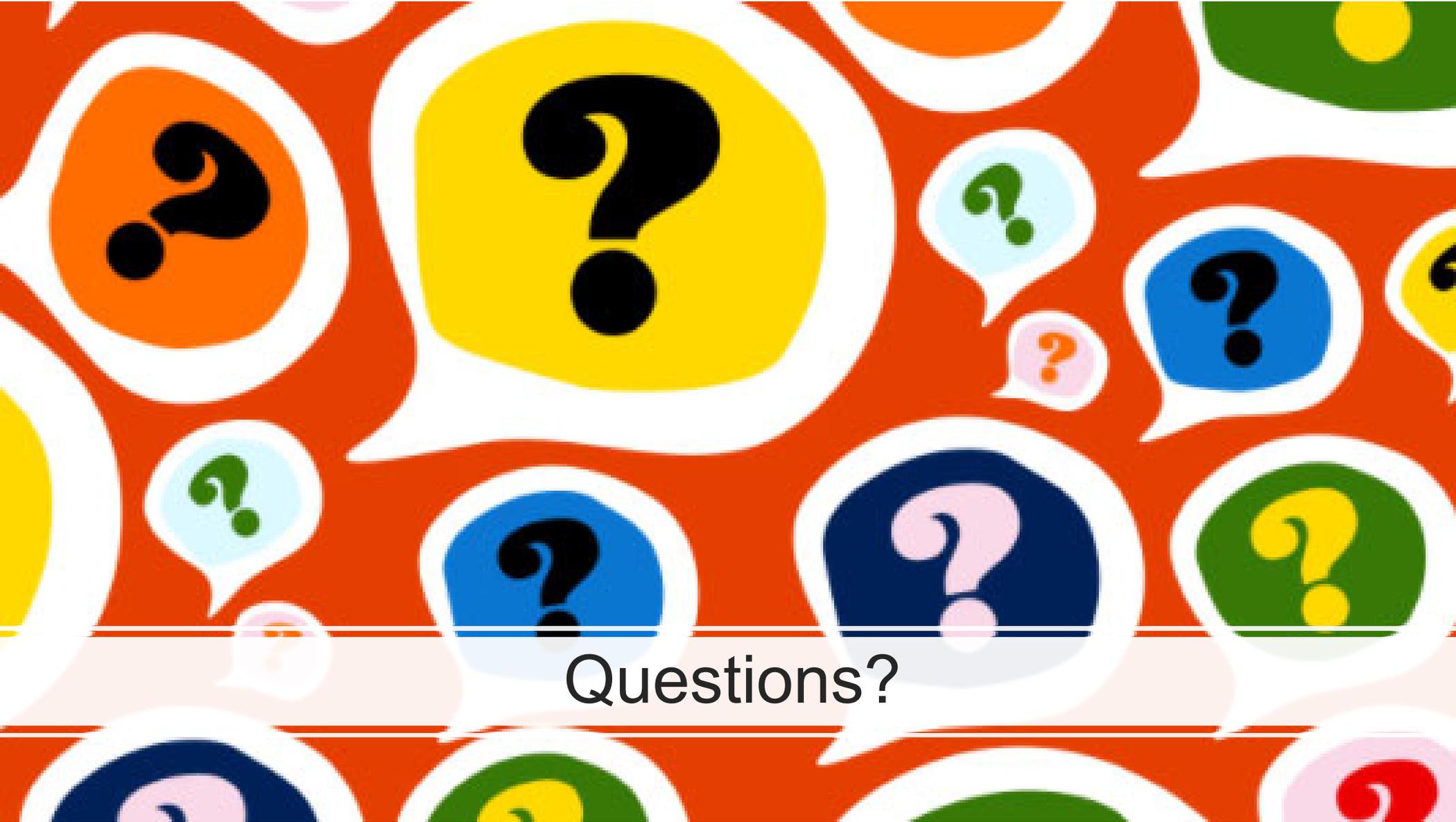*www.research.colostate.edu/safety-and-compliance/*
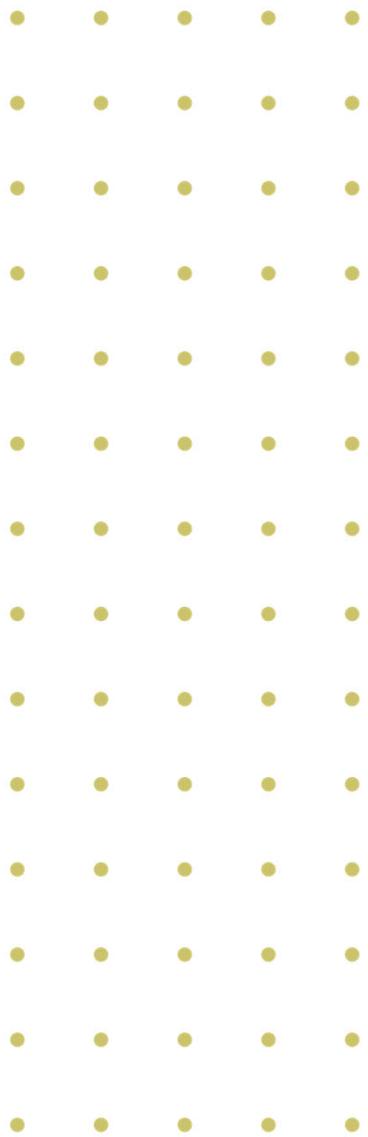
Office Hours
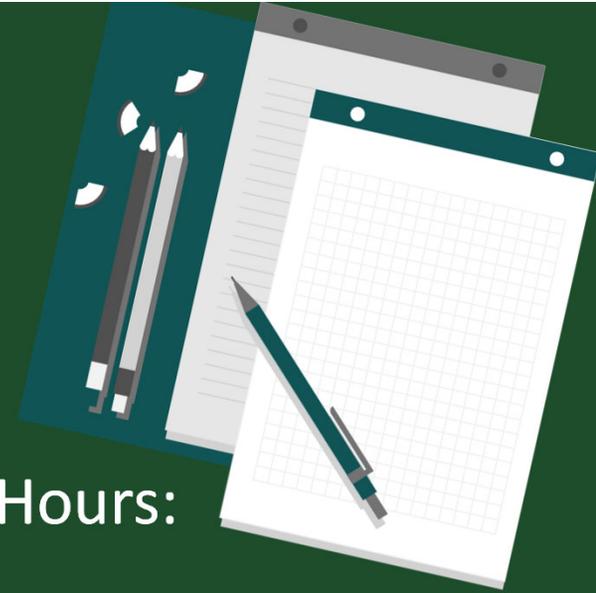
Join us on Fridays in February for Office Hours:

➢ Friday, February 9th; 10:00 - 11:00 am

➢ Friday, February 16th; 10:00 - 11:00 am

➢ Friday, February 23rd; 10:00 - 11:00 am

Questions?

Resources

Developing, Reviewing, and Submitting Proposals for External Funding

https://www.research.colostate.edu/osp/training/on-demand-learning/

PI Eligibility

https://www.research.colostate.edu/osp/guidance/

Kuali Research (includes Quick Guides / Training)
https://www.research.colostate.edu/osp/kr/

KR PD Stakeholder Contacts
https://www.research.colostate.edu/osp/stakeholder-contacts/

OSP Portal Account Guidance OSP Proposal Review

https://www.research.colostate.edu/osp/proposal-review-submission/
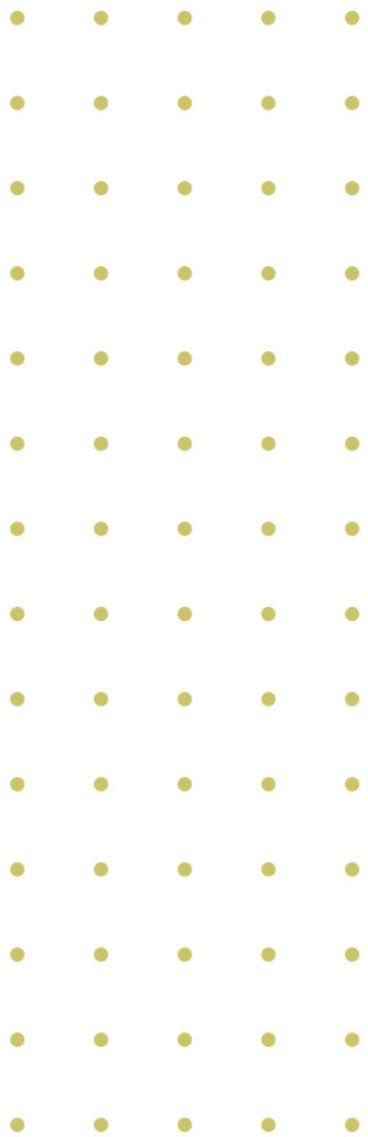
Resources

Roles and Responsibilities Matrix

https://www.research.colostate.edu/osp/guidance/

OSP Proposal Submission Guidance

https://www.research.colostate.edu/osp/guidance/

OVPR – Safety and Compliance

Research Safety and Compliance - Vice President For Research (colostate.edu)

Commonly Requested Information

https://www.research.colostate.edu/osp/commonly-requested-information/

Thank you

Colorado State University