



# PROPOSAL PREPARATION ROLES & RESPONSIBILITIES

MSU Office of Research and  
Economic Development  
Seminar Series  
October 26, 2017



# WHO'S WHO?



# WHO'S WHO?

- Project Team
  - Has scientific expertise
  - Create and control technical aspects of project
- Administrative Support
  - Assists in creating and submitting proposal application
  - Relieve administrative burden
- Approval Chain
  - Represents the interests of the institution, college and/or unit

# WHO'S WHO? – PROJECT TEAM

## Project Team

### 1. Principal Investigator (PI)

- Primary person in charge of a project on behalf of the department/unit
- Responsible for technical execution of project
  - Performing approved scope of work
  - Maintaining compliance with sponsor and university policies

### 2. Senior Personnel

- “Co-PIs”
- Faculty members or research contributors other than lead PI

# WHO'S WHO – PROJECT TEAM

## 3. Other Personnel

- Postdoctoral associate (post-doc)-- holds doctorate degree but is not full member of faculty
- Graduate Student (research assistant, GRA)– student working in research capacity toward a graduate degree
- Undergraduate student– student working in research capacity toward bachelor's degree

## 4. Collaborators

- PIs from another institution/entity working on sponsored project alongside our faculty (consultants, evaluators, expertise, etc.)

## 5. Subcontractors

- PIs from other institution/entity being issued a project to be performed under our project

# WHO'S WHO? – ADMINISTRATIVE SUPPORT

## **Departmental Administrative Support**

(Business Managers, Grants & Contracts Specialists)

- Access to staff depends on unit
- Business coordinator, business manager, grant and contract specialist, research administrator
- OSP Proposal Services to supplement/fill role of department staff

# WHO'S WHO – ADMINISTRATIVE SUPPORT

## Central Administrative Support

### Office of Sponsored projects

- Central research administration office
- Liaison between department and sponsor
- Central point of contact for projects including subcontracting and “zero-dollar” agreements
  - Proposal Services
    - 140 Morgan Ave
    - Assist in developing proposal materials
  - Administration
    - Etheredge 129
    - Review proposal for completeness and compliance with guidelines

# WHO'S WHO – ADMINISTRATIVE SUPPORT

## Central offices, continued

- Units within the Office of Research and Economic Development are involved based on subject matter and needs of project
  - Office Research Compliance
  - Office of Technology Management
  - Environmental Health and Safety
  - Research Security
- Other “non-ORED” support
  - MSU Libraries
  - Office of the Provost
  - Sponsored Projects Accounting



# WHO'S WHO? – APPROVAL CHAIN

## Routing Chain

- PI/Co-PI
- Department head (of each PI/co-I)
- Dean/Director of college/unit
- Authorized Organizational Representative (AOR)

## Approval process

- Must be approved by department to move forward for submission
  - Shown by signatures on IAS (internal approval sheet)
  - Ideally have complete package for approvers to view
- OSP has list of approval chain
  - Update OSP with changes
  - Provide letter if proxy signature
- Authorized Organizational Representative – MSU OSP
  - MSU OSP is final approval for submission



# PROPOSAL PLANNING & DEVELOPMENT



# PROPOSAL PLANNING TASKS

- Identifying funding
- Review solicitation (eligibility/limited submission, cost share etc.)
- Notifications (OSP, IRB, etc.)
  - Portal
  - IRB/IACUC
  - Subawards
- Agency/submission method credentials

# IDENTIFYING FUNDING

PI	Dept.Admin	Central Admin	Leadership (DH, Dean, ADR, etc.)	Other
Locate funding opportunities by agency or opportunity using search tools, professional networks, or OSP/ORED resources	May assist PIs with searches per dept. expectations	Disseminate internal sources such as ORED funding opps, Fuller Updates	May share potential opportunities based on nature of faculty members' appointment type/research priorities	ORED will initiate communication of internal funding opportunities
Register for GRC Faculty Alerts; search via Grants.gov, agency sites, etc.	monitor sources for appropriate opportunities	Proposal Services can, by request, conduct individual searches for specific opportunities and may forward targeted finds.		
Request individualized assistance from Proposal Services if needed		Stay abreast of forthcoming agency priorities and initiatives		

# SOLICITATION REVIEW

<b>PI/ personnel</b>	<b>Dept.Admin</b>	<b>Central Admin</b>	<b>Leadership (DH, Dean,ADR, etc.)</b>	<b>Other</b>
Review for technical “fit” with proposed work	Review for PI and institutional eligibility	Review for compliance requirements	Must approve if limited submission or if cost share is involved	
Review for PI and other personnel eligibility	Review for preliminary budget issues	Review for submission method and deadline		
Review for budgetary limitations		Review to assist with proposal planning and development		
		Review for special considerations for renewal, resubmission, etc.		

# NOTIFICATIONS

<b>PI/ personnel</b>	<b>Dept.Admin</b>	<b>Central Admin</b>	<b>Leadership (DH, Dean,ADR, etc.)</b>	<b>Other</b>
Notify departmental personnel of intent to submit and list of personnel*	Notify department administration of intent to submit*	Assign proposal submission request task	Approve limited submission request (if applicable)	
Notify OSP of intent to submit*	Notify OSP of intent to submit and list of personnel via OSP Request Portal	Gather contact and eligibility information from potential subcontract organizations		
Notify Proposal Services if special assistance is requested	Begin Internal Approval Sheet (benefits to starting this early)	Confirm personnel eligibility and status		
Notify ORC of compliance protocol (if applicable)		Monitor pending/complete status of protocol		
Complete Limited Submission request (if applicable)				

\*varies from college to college/ dept. to dept.

# NOTIFICATIONS

- Notify OSP through OSP Request Portal
  - Effective July 1, 2017
  - System allows for tracking and transparency
  - Eliminate confusion on finding administrator
  - All necessary parties can be added/removed
  - Green “service” button at <http://osp.msstate.edu/>
- Department/unit decides how this tool is used

# AGENCY/ SUBMISSION CREDENTIALS

PI/ personnel	Dept.Admin	Central Admin	Leadership (DH, Dean,ADR, etc.)	Other
Initiate or verify credentials for the submission and management portals of the agency	Also needs agency credentials in order to access portals for upload and editing	Create/verify account in agency portals (NIH, NSF, etc.)	May be added to agency portal list of “viewers” if applicable.	

- Typically OSP signs and submits
  - Some PI submission portals
  - OSP must give approval



# PROPOSAL PLANNING & DEVELOPMENT TASKS

- Contacting Program Officer
- Narrative Components
- Budget/fiscal Components
- Supplemental Documents

# PROPOSAL PLANNING & DEVELOPMENT TASKS

## Contacting the Program Officer

- **PI** should initiate contact prior to full-scale proposal planning AND at any time questions arise regarding technical aspects of the project
- **PI** should take advantage of opportunities to engage with Program Officials at meetings, conferences, webinars, etc. as often as possible
- **OSP** will assist with facilitating contact in instances of administrative questions
- **Proposal Services** offers some examples of boiler plate language and best practices for contacting Program Officers
- **The Office of the Vice President for Research** may be able to facilitate travel opportunities or other face-to-face meetings with Program Officers.

# PROPOSAL PLANNING & DEVELOPMENT TASKS

## **Narrative Components (PI drives the process)**

1. Need/ problem data
2. Goals and objectives
3. Institutional capacity
4. Research plan
5. Evaluation/ dissemination, etc.
6. Budget and justification (match, cost-share, etc.)
7. Supplemental documents

# PROPOSAL PLANNING & DEVELOPMENT TASKS

## **PI**

- Overall leadership and direction of project; team management
- Technical expertise
- Coordination with collaborators (including potential subrecipients, evaluators, advisors, etc.)
- Responsible for data-collection, review of literature, coordination with collaborators, timeline, and scope of work
- Drafts proposal components (with assistance as requested)
- Responsible for initiating all processes for development and submission

## **Senior Personnel (co-Is)**

- Complete proposal components as requested by PI
- Contribute supplemental documents in timely fashion and in correct format
- Commit fully to participation and production of quality product (ex. time and effort/involvement in development)

# PROPOSAL PLANNING AND DEVELOPMENT TASKS

## **Departmental Administrators**

- Responsible for maintaining policies and procedures of the department/college
- Assist with budget development (locating source info for costs, ie. salary, travel, student employee, fringe and F & A rates, etc.)
- Assist with preparation and compilation of supplemental documents such as personnel docs (biosketches, C & P, Collaborators,) letters of support, commitment, etc.
- Assist with formatting to agency guidance
- Assist with upload of proposal components into submission vehicle
- Facilitate internal review and approval; forward to OSP
- Coordinate with OSP for administrative review

# PROPOSAL PLANNING AND DEVELOPMENT TASKS

## **Proposal Services (by request)**

- Strategic planning for proposal development and project development aligned with goals of MSU, ORED, and unit
- Team building and coordination of proposal components
- Preparation and management of development timeline
- Facilitate resources for pertinent data (ex: community, institution, demographic, student, etc.)
- Assist department administration with tasks
- Provide templates and boilerplate language for narrative components and supplemental documents
- Editorial, formatting, stylistic support
- Review for compliance with review criteria, agency guidance, and sponsor's funding priorities
- Facilitation of review by peers, technicians, others
- Serve as a liaison between PI/Department and OSP regarding processes and policies

# PROPOSAL PLANNING AND DEVELOPMENT TASKS

## OSP

- Serve as Authorized Organization Representative; represent MSU in communication with agencies/sponsors
- Review for compliance with federal, agency, and institutional regulations
- Review proposals for correct formatting, completeness, and accuracy prior to submission
- Agree to required assurances and other submission protocols
- Ensure appropriate notification and processing of regulatory matters concerning safety and human protections
- Confirm PI credentials with sponsor
- Facilitate communication with Program Officer/ Sponsor Representatives

# PROPOSAL PLANNING AND DEVELOPMENT TASKS

## **Department Head/ Dean/ Director**

- Manage personnel portfolios regarding research expectations and appointment type
- Support PIs with opportunities to
- Support OSP protocol by adhering to policies and procedures concerning submission timelines and sponsor requirements regarding responsible conduct of research
- Authorize cost share, in-kind, and matching funds, where applicable
- Provide letters of support for projects on behalf of college/department as appropriate
- Approve final submission as evidenced by signed IAS





# SUBMISSION TASKS



# SUBMISSION TASKS

## Budget Review

- **PI and/or Departmental Administrator** complete and review budget for correctness
- **Department Head** approves
- **Departmental Administrator** forwards to OSP for review
- **OSP** checks salaries, fringe rates, indirect cost rates, charges allowed by RFP

\*If child fund marked, need child budget for fund creation

# SUBMISSION TASKS

## Internal Approval Sheet

- **PI or Dept.Admin.** initiates, completes, and routes for approval signatures
- **OSP** captures much information captured concerning reporting requirements, credit split, and need to notify necessary parties (OTM, ORC, Research Security, etc.)
- **OSP** as AOR is unable to submit proposal without IAS.

# SUBMISSION TASKS

## Upload proposal

- If via a portal (Fastlane, Cayuse, etc.) **PI or Dept.Administrator** creates application and give OSP view access
- If Fastlane, **PI** must provide PIN number to whomever will be uploading content
- If email or mail submission, **PI or Dept.Administrator** should upload final docs to OSP Request Ticket with final departmental approval
- **PI or Dept.Admin** should grant OSP final access for review and submit

# SUBMISSION TASKS

## OSP Review

- Sliding scale for depth of review based on time allotted
- Submission
  - Assurances
  - Final confirmation with PI prior to “pushing the button”



# POST SUBMISSION



# POST-SUBMISSION

## **Immediately Post-submission**

- OSP/PI share confirmations via OSP Request Portal Ticket
  - Snapshot of submission screen
  - Emails from sponsor
  - Tracking number

# AWARD/DECLINE

## Non-funded notification

- Letter will be shared with **OSP and PI (depends on who receives notification)**
- Not all sponsors notify. In some cases, **OSP** may be able to check; likewise, **PI** should be able to find out by contacting agency after the announced notification date.
- **Proposal Services** can assist with review of critiques if plans are to re-submit at the next opportunity.



# AWARD/DECLINE

## Award

- **OSP** will verify with PI/department award is acceptable
- **OSP** will work with General Counsel if necessary to ensure we can agree
- Check based on IAS that all approvals are met
- **OSP** will notify Sponsored Projects Accounting to set up fund
- **PI** will ensure any compliance protocols are in place
- **PI** and **Dept.Admin.** will review award conditions for reporting and any other sponsor requirements

# COMMON POST AWARD MANAGEMENT ISSUES

## **Budget revision**

- Move funds to better perform project
- Can be internal or need approval depending on sponsor
- Requires new budget and justification
- Budget revision form

## **Change in PI/ Personnel**

- PI leaves or no longer on project
- Internal Change Form

## **No Cost Extension**

- Need more time to complete project
- Need approval or can extend internally based on sponsor

Each of these requires a justification and that the applicable form be initiated by **PI/Dept.Admin.** and approved by **Dept. Head/Dean/Director; OSP** submits to agency for approval if required (\*expanded authority)

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# PROPOSAL PREPARATION ROLES & RESPONSIBILITIES

## QUESTION TIME!

Stephanie Hyché  
Associate Director  
Office of Sponsored Projects  
662-325-7395  
[shyche@osp.msstate.edu](mailto:shyche@osp.msstate.edu)

Justin Stidham  
Grants & Contracts Administrator  
Office of Sponsored Projects  
662-325-4775  
[jstidham@osp.msstate.edu](mailto:jstidham@osp.msstate.edu)