



Office of Research Administration Pre-Award Proposal Submission Policy

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Pre-Award Submission Policy

The Office of Research Administration (ORA) serves as the financial management and compliance coordinator for externally funded research, public service, and instructional projects. The mission of the ORA is to provide Principle Investigators (PIs) with assistance in managing proposal, grant, and contract budgets; in addition to, complying with proposal, grant, and contract reporting requirements.

The ORA Pre-Award staff provides assistance in preparing financial budgets to Principal Investigators (PIs) during proposal preparation, serves as an information source for and monitors compliance with applicable University and sponsor policies and requirements, handles all administrative matters with sponsors, including contract negotiations, and serves as a liaison after grants are awarded and funded.

The faculty and authorized professional staff are encouraged to seek external financial support for specific projects undertaken to further the mission of Wichita State University (WSU/the University). WSU depends to a large extent on external sources to support programs of research, teaching and instruction, scholarships and public service. Sponsored projects enhance and expand the educational opportunities available to undergraduate and graduate students at the University. In addition, research, scholarly inquiry, and the development of new knowledge all contribute to the academic achievements and stature of the institution.

Due to the growing complexity of conditions attached to sponsored projects and a trend toward greater diversity in sources of support, ORA must review and approve all proposals prior to submission to an outside funding agency. Proposals are due to the ORA three (3) full business days in advance of the funding deadline. This applies to electronic proposal submissions. Non-electronic proposal submissions are due to the ORA five (5) business days in advance of the funding deadline.

The University's policies apply to all sponsored programs unless the granting agency establishes exceptions. Proposal applications that WSU approve must clearly identify the exceptions. The exceptions may not conflict with federal law, state law or with the Regents' Rules.

1.00 - Purpose

The purpose of the proposal submission policy is to establish the authority to commit the University to the terms and conditions of externally funded proposals, grants, and contracts for sponsored programs, and to commit the University resources to the performance of tasks proposed to external sponsors.

All proposals for external support must be authorized by the Department Chair, Dean, Director of Office of Research Administration, and the Associate Provost for Research Administration prior to submission to the funding sponsor including industrial partners. No faculty member, nor any other official of the University, is authorized to commit University resources to the conduct of research, training, or service without receipt of authorization from the ORA. *(WSU Policies & Procedures 9.03)*. University resources include faculty and staff time, facilities and equipment, supplies and University funds.

2.00 - Policy

The Office of Research Administration (ORA) ***must*** review and approve all proposals prior to submission to an outside funding agency. Proposals may not be submitted directly to the funding source without the prior approval of the ORA. WSU reserves the right to decline awards resulting from unapproved proposals.

Complete proposals must be submitted to the ORA by 9:00 a.m. ***three (3) business days prior to the funding deadline for electronic proposals and five (5) business days prior to the funding deadline for non-electronic proposals***. However, it is strongly encouraged that proposals be submitted to the ORA for review and approval at least two weeks before the funding deadline. This applies to electronic and non-electronic proposal submissions.

Proposals submitted on time will be reviewed in the order received and will receive priority over late submissions. Although the ORA will make a good faith effort to submit proposals received ***less than three (3) business days prior to the funding deadline for electronic proposals and five (5) business days prior to funding deadline for non-electronic proposals*** however, it may not be possible to successfully do so.

If a proposal deadline occurs during a change in the University's scheduled operations (i.e., inclement weather or other emergency) the Principal Investigator (PI) should contact the funding agency for an extension to the deadline date. For scheduled WSU holidays or closings, the last day before the closing or holiday will become the ORA submission deadline. Therefore, ***proposals should be submitted to the ORA three (3) full working days for electronic proposals and five (5) full working days for non-electronic proposals prior to the ORA submission deadline***.

3.00 - Applicability

This policy applies to ***all*** proposals (electronic and non-electronic) submitted to an organization external to the University in support of a research, training, and/or other sponsored projects.

4.00 - Definitions

Authorized Organizational Official - the individual, named by the applicant organization, who is authorized to act for the applicant and to assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to grant applications or grant awards. WSU policy vests this authority in the Associate Provost for Research.

Authorized Proposal - sponsored programs require the commitment of University resources. Proposals require the signature of an authorized official. The Associate Provost for Research or one of his/her delegates are the ONLY individuals authorized to sign sponsor forms, representations, certifications, and other grant or contract documents requiring the signature of an authorized representative, official, or signatory. All official signatures must be obtained from the ORA.

Electronic Proposal Submissions - preparation, upload, and submission of electronic proposals require the joint effort of the ORA and the Principal Investigator. The ORA should be contacted at the beginning of the application process.

Most federal agencies have an electronic submission website: National Science Foundation (NSF) has *Fastlane*, and the Department of Justice (DOJ) has the *Grants Management System*. The electronic submission for the sites varies in format, budget detail, and compliance requirement.

The federal government has mandated that a central electronic submission site be established, hence the birth of *Grants.gov*. Most agencies within the federal government still offer alternative submission options through their agency site; however the *grants.gov* website is becoming the main submission site for all federal applications.

The submitting institution is responsible for obtaining a receipt confirmation, via separate Email, with the corresponding Point of Contact (POC), to ensure the electronic proposal has been received by the date/time set forth in the solicitation for receipt of offers.

***NOTE: A HARD COPY OF THE PROPOSAL AND BUDGET MUST BE ROUTED AND APPROVED BEFORE COMPLETING THE ELCTRONIC SUBMISSION PROCESS.**

Cost Sharing – Under certain circumstances it may be appropriate or required for Wichita State University to share the costs of a project. Cost-sharing under a federal grant is subject to Office of Management and Budget (OMB) Circular A-21 and A-110 (Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations: Uniform Administrative Requirements). A-110 stipulates that the cost-sharing must come from non-federal sources and contribute directly to the proposed project. Proposals listing cost-sharing should explain how the cost-sharing commitments will be met. The actual cost-sharing is auditable and subject to verification.

All Direct Costs for federal proposals, grants, and contracts must coincide with federal guidelines according to OMB Circular A-21 and A-110.

Committed Cost Sharing – a contribution of effort or other costs that are quantified in the proposal narrative, budget, budget justification, or the award document. Committed cost sharing may be either mandatory or voluntary.

Direct-cost Cost Sharing – the provision of faculty and staff time and related fringe benefits, dedicated equipment, tuition, computer support, and other resources as directed support for the

project, as well as related indirect costs. Commitments made by departments, schools, or other units must be detailed in the proposal with appropriate signatures obtained and attached.

Indirect (F&A) Cost Sharing – occurs anytime the University agrees to recover less than the federally negotiated indirect cost rate. Approval from the ORA Director, Department Chair, and/or Dean's Office is required if an indirect cost rate is lower than the university approved rate.

****Note: If proposal contains cost sharing, then the proposal needs to be in the Office of Research Administration (ORA) ten (10) working days prior to the submission deadline.***

Lead Institute/Lead Institution – the University, institution, or organization submitting the application will be considered the lead institution. The contact PI must be located at the institution submitting the application. The other collaborating institutions will be supported through subcontracts.

In cases where another institution is the lead applicant, University faculty, who are co-principal investigators (Co-PIs) with faculty from another institution, must obtain the same approvals. In these cases, WSU's deadline is the deadline dictated to WSU by the lead institution ***plus three (3) working days***. Lead institutions usually require additional time to assemble the final proposal prior to the sponsor's deadline.

****Note: The Office of Research Administration (ORA) is responsible for coordinating with the lead institution's office responsible for research administration.***

Letter of Intent/Letter of Inquiry – a written statement of the intention to enter into a formal agreement. The grantor expresses their willingness to commit to funding a project if certain conditions are met.

- The ORA must be notified and provided a copy of Letter of Intent/Letter of Inquiry.
- Letter of Intent/Letter of Inquiry is pre-approved to be sent unless an Authorized Official Signature is required.

Letters of Intent/Letters of Inquiry are not formal commitments by the University. In general, the WSU Proposal Routing Form is not required. However a copy of pre-proposals, preliminary proposals, or white paper must be furnished to the ORA and to the appropriate Department Chair and/or Dean's Office.

Limited Proposal Submission – Some programs contain restrictions that limit the number of applications per institution. WSU has institutional policies in place for selecting nominees/candidates for these programs and vests administrative support responsibility for these restricted-submission programs in the Office of Research Administration. The Associate Provost for Research directs the candidate selection process for limited submission programs.

Non-Electronic Proposal Submissions - Any proposal that is submitted via U.S. Mail or commercial courier (FedEx, UPS) must be digitized on a Compact Disc (CD) or, Digital Versatile Disc/ Digital Video Disc (DVD), and labeled with the file names and format(s) (Word, Excel, etc). It is not necessary to zip material submitted via non-electronic channel.

Non-electronic proposals including proposal routing sheet, cover page, budget and budget justification must be submitted to the ORA for approval five (5) business days prior to the sponsor deadline.

The submitting institution is responsible for obtaining a receipt of confirmation, via Email, return receipt, or fax with the corresponding POC, to ensure the non-electronic proposal has been received by the date/time set forth in the solicitation for receipt of offers.

Proposal – a written application or a request for support of a sponsored research, training and instruction, or other creative activity containing all supporting documents, submitted in accordance with the funding sponsor’s instructions. Common proposal types:

Complete Proposal - NIH (National Institute of Health) and the NSF (National Science Foundation) require the following major components when filing proposals electronically or non-electronically:

1. In order for the proposal to meet the three (3) day rule for electronic/(5) day rule for non-electronic deadlines, all required forms must be entered/uploaded into the sponsor’s website or the application three (3) working days before the sponsor’s deadline or mailed (5) days prior to the electronic deadline to include:
 - a. Signed and completed WSU Proposal Routing Form,
 - b. The ORA approved and final detailed budget and budget justification,
 - c. Projected Narrative, AND
 - d. All other items required by the solicitation such as;
 - i. Completed WSU Cost Sharing Identification and Approval Form,
 - ii. Commitment letters from entities that will provide cost matching,
 - iii. Commitment letters from entities that wish to subcontract, AND
 - iv. Approved cost match definition

Pre-Proposal, Preliminary Proposal, or White Paper – are abbreviated descriptions or brief abstracts of the proposed project. A sponsor often requests preliminary proposals when large programs are proposed and usually requests an estimated budget. All final budgets must be approved by the ORA prior to submission. If a budget is included in the submission, the ORA will route the proposal for the appropriate University signatures prior to submission, if the sponsor notifies the PI if a full proposal is warranted.

However, pre-proposals, preliminary proposals, or white paper often do become the basis for negotiation for funding. Pre-proposals, preliminary proposals, or white paper(s) are not formal commitments by the University or the PI. In general, the WSU Proposal Routing Form is not required. However, a copy of a pre-proposals, preliminary proposals, or white paper(s) should be furnished to the ORA, the appropriate Department Chair, and/or Dean’s Office.

Unauthorized Proposal – is an electronic or non-electronic proposal, which has been submitted by an individual or a group of individuals without approval by the WSU Authorized Official. The Associate Provost for Research may, at any time, refuse acceptance of an award or direct the withdrawal, revision, or amendment of any application. Unauthorized proposals will be reported to the submitting individual(s) Chair, Dean, and/or Provost for further action.

Principal Investigator (PI) Responsibility – As someone who has been awarded PI status at WSU, you are obligated to adhere to all applicable federal, State of Kansas, Kansas Board of Regents, and university regulations that govern such activities:

1. Agree to manage the externally sponsored project in accordance with the policies and procedures of the ORA.
2. Agree that all expenditures made under an externally sponsored activity under your direction will be in accordance with the terms of the award document and consistent with the federal cost principles summarized in the federal Office of Management and budget (OMB) Circular A-21.
3. Agree that activities on the project will adhere to university policies and procedures regarding information access technology and privacy.
4. Have filed a conflict of interest report for the current fiscal year and agree to update this report annually and whenever your circumstances change.
5. Agree that any proposed research involving human participants will be reviewed and approved by the IRB Committee prior to beginning research.
6. Agree that any proposed research involving vertebrate animals, including field research, will be reviewed and approved by the IACUC Committee prior to beginning such research.
7. Agree that prior to beginning any proposed research involving hazardous materials or processes such as biohazards, radiation, lasers, recombinant DNA, and select agents, will obtain any necessary training and permissions from EHS.
8. Agree to adhere to all federal export control regulations, including the Export Administration Regulations (EAR), 15 CFR 730-774 and the International Traffic in Arms Regulations (ITAR), 22 CFR 120-130.

The above is addressed and signed off on by the PI on the authorized Proposal Routing form. ***This needs to have all signatures completed three (3) days before submission, if an electronic submission, or five (5) days in the case of a non-electronic submission.***